

THE LITERARY AND NON-LITERARY TEXT: TRANSLATING AND DISCOURSE.

A thesis submitted in partial fulfilment of the requirements of the University of Wolverhampton for the degree of Doctor of Philosophy.

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## ABSTRACT

Chapter 1 provides an overview of the current issues in translation studies and a brief historical account of the translation debate over the past twenty years or so. The much-debated issue of *equivalence* is discussed and the polarisation of the debate between *target text* and *source text* is mentioned here and discussed more fully in the following chapter. The theories of translation based on the pragmatic analysis of texts are examined, as is the nature of textuality itself.

Chapter 2 concentrates on the literary text, while acknowledging the need to be wary of facile typological dichotomies. The nature of textuality in general and the characteristics of dramatic discourse in particular are discussed, with reference to the play *Pelo de Tormenta*. Cultural context and the implications of this for translating are examined, with reference to the literary text.

Chapter 3 provides the social and cultural background to the life and works of Francisco Nieva, with particular reference to the cycle of plays known as *Teatro Inicial* and *Teatro Furioso*. *Intertextuality* in these works is examined, in particular the surreal and *popular* elements in the play, and a brief analysis of the surrealist aesthetic is included.

Chapter 4 provides a detailed analysis of the dramatic discourse of the play *Pelo* and seeks to examine the linguistic manifestation of the intertextual elements in the play, deriving both from avant-garde theatre and from a centuries old Spanish literary tradition.

Chapter 5 provides a similarly detailed analysis of the academic text, employing a pragmatic analysis approach, complemented by approaches based on contrastive analysis.

Conclusion: the conclusions reached are based on the application of theory to the practical task of translating.

The appendix includes copies of the target texts and the source texts.

The bibliography appended to this work includes reading on Francisco Nieva and the avant-garde theatre, as well as background reading on art history, the philosophy of language, linguistics, literary stylistics and translation studies. It reflects the multi-disciplinary nature of this field and includes grammatical works of reference.



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## Introduction

This work seeks to apply the insights offered by Translation Studies to the translation of two very different text types: one a play by the dramatist Francisco Nieva and the second an academic text on the history of economic thought.

The first two chapters examine work in the field of translation studies and text linguistics, as well as in literary stylistics and the philosophy of language, and attempt to summarise the relevance of this work to the translator. The sub-headings are clearly subjective and evolve more from a need to structure the chapter than any real belief that these issues are somehow separable. Evidently, dramatic discourse is merely another



form of discourse, the academic text another form of text. The literary text and the way it differs from other texts is a much-debated issue which we can only summarise. Attempts to produce categories are one of the dangers of thesis writing and the need to summarise within the limits of a thesis the volume of writing on these subjects clearly runs the risk of trivialisation.

Nevertheless, the most important issues which have emerged in recent writings on the subject of translation and on the subject of text linguistics generally, which have influenced the approach to the reading of the text and to its understanding and consequent 'reconstruction' in the target language, will be summarised within this chapter. It is hoped that the influence of these works may be seen in our approach to the analysis and translation of the text and that this practical application of the theory may provide a real test of its validity.

It is envisaged that the translation of two such different text types may allow us insight into the relevance of different approaches to the analysis and translation of contrasting text types:

- i. A type of play, called by its author a *reopera*, in which various influences from European avant-garde drama are in evidence and combine with a Spanish popular theatrical tradition, known as *el popular*, to form a unique theatrical event.
- ii. An academic text on the subject of the history of economic thought, entitled

"La Ética y Económica de Espinoza: un Antecedente de Adam Smith".

It would be difficult to find two more contrasting texts. The play, Pelo de Tormenta, written as part of an underground theatre during Franco's dictatorship, is anarchic in its use of language and violates form and register in a surrealistic attempt to explode an unacceptable reality.

The academic text is remarkable for its adherence to internationally recognised norms and conventions, amongst which formality of tenor and highly structured discourse are notable features.

This thesis seeks to explore developments in text linguistics and contemporary translation studies in order to derive insights into those features of textuality which make each text unique, so as to recognise and recreate this uniqueness in translation.

Chapter 1 is exploratory in nature, examining, briefly, the current issues in translation studies and discussing the most important aspects of the debate on translation over recent years. Clearly, to attempt a thorough appraisal of the debate from its beginnings would require a multi-volume work and is beyond the scope of this thesis. What we shall attempt to do is to summarise those aspects of the debate which have most relevance to the task at hand, the translation of two vastly different text types.

Starting with the texts, we ask questions concerning textuality and the nature of the literary and non-literary text and find, in so doing, that the area of translation studies



is vast, involving the philosophy of language and linguistics, and equally deriving insights from current debates in literary criticism, regarding the nature of textuality itself. Chapter 2 is devoted to answering this question, with particular regard to the literary text. Typologies of dramatic discourse will be analysed with a view to ascertaining the nature of the discourse employed in the *reopera*. Characteristics of the literary text will be discussed, in particular the use of deviation as a device which differentiates the literary from the non-literary text.

If a thesis must necessarily start with a series of interrogatives, our next question concerns the meaning of the term *translation*. This question is not easily dealt with within the constraints of a chapter sub-heading, but is raised continually throughout the entire work, as we endeavour to answer it to our own satisfaction and explore approaches, methodologies and theories of translation in order to do so. The question is implicit in all that we write on the subject, and, in our attempt to translate the two texts, each an important work in its own right, each requiring different strategies and presenting different problems. Axiomatic to the debate is our understanding of the concept of *equivalence* and the implications of this for different theories of and approaches to translation.

The translations, then, offer a challenge which this work attempts to meet by setting the following aims:

- 1) To provide an overview into current thinking in translation studies and apply this to the translation of two different text types.

- 2) To derive insights into thinking on the nature of literary texts by examining work on literary stylistics and literary criticism, with particular regard to the dramatic text, and to apply these to the analysis and translation of drama.
- 3) To analyse and discuss the nature of *textuality* and the meaning of the term *translation*.
- 4) To attempt, in accordance with our view of the particular text in question, to apply insights derived from our reading in the above-mentioned fields, to the practical analysis and translation of the texts and to document our findings regarding the relevance of the theoretical insights to the practical task of translation of different text types.
- 5) To produce an acceptable target language text in accordance with the norms of the target language culture, while meeting the adequacy requirements of the source language text. This involves elements of comparison of ST norms to those of the TT, where applicable.
- 6) In order to bring to our translation the understanding of the cultural background of the work, we shall examine the life and work of Francisco Nieva, one of Spain's leading contemporary playwrights, with a particular view to examining those artistic influences in evidence in the play. In so doing we aim to examine the importance of cultural context to translating.
- 7) Chapters 4 and 5 will deal with the analysis of the literary and non-literary text



respectively and aim to provide insights into the particular problems presented by each in translation. The entire process of these analyses will be reproduced in order to document the application of theory to the practice of translation.

## Chapter 1 - Issues in Translation

### Introduction

Attempts to arrive at a theory of translation, or indeed to recognise the feasibility of such, have in recent years allowed Translation Studies to develop as a discipline, embracing methodologies from a variety of other disciplines from within the human sciences. Nevertheless, the diverse and multi-disciplinary nature of the subject matter and the confusing and often conflicting ideas put forward regarding the nature of the discipline have given rise to concerns about the lack of a comprehensive approach, articulated by Bell (1986) in his paper entitled "Why translation studies is in a mess and what we can do about it". This chapter examines the issues currently being debated and

attempts to provide an overview of their historical context. It briefly outlines the developments from the 'scientific' formalist approach and attempts to show how this approach has been abandoned in favour of a discourse analysis approach.

### 1.1.The Contemporary Debate - Differing perspectives:

Contemporary theorists, such as Bell, Neubert and Shreve, have applied theories from linguistics, psychology and communication studies in order to analyse the process of translation and employ a discourse analysis approach to translation, discussed later in this chapter.

Even-Zohar (1979) and Toury (1980), working within the field of contrastive linguistics, focus on the differing linguistic and socio-cultural systems existing in different languages and concentrate on the notion of translation as a type of interlingual performance, requiring intertextual comparison. These ideas, known as polysystem theory, derive from work carried out by the Russian formalists and developed by Toury in his work entitled *In Search of a Theory of Translation*, published in 1980. The term *polysystem* is used to refer to the entire network of correlated systems, both literary and non-literary, in society. Polysystem theory attempts to explain the function of all kinds of writing within a culture, including both canonical and non-canonical texts. The analysis of the relationship between the original literary works and their translations provides a basis for understanding the polysystems operating at a given time. The status of the translated works in older cultures is invariably secondary, although in cultures, such as the Israeli, where translation plays a vital role, this is not necessarily the case.



Toury's model (1980) is distinguished from that of his predecessor by his concern with *shifts* between the source and the target language and his criticism of the *source-oriented* theoretical models of translation. His definition of equivalence<sup>1</sup> is based on the assumption of structural differences between languages. Toury posits hypothetical poles of *acceptability* in the target culture and *adequacy* in the source culture and has caused the translation debate to polarise around these two concepts<sup>2</sup>

Polarisation has been the hallmark of the debate on translation since antiquity as what Snell-Hornby (1988:9) refers to as the "age-old dichotomy of word and sense" has beset the debate until recently. Cicero, in the first century B.C., was perhaps the earliest exponent of 'free' translation with his much quoted phrase, "non ut interpretes ... sed ut orator"

The now historical debate on 'free' versus 'literal' translation has, as previously mentioned, been replaced by a debate on polarisation between a target text or source text approach. The debate, however, continues to focus on our interpretation of the term *equivalence*, which in turn is influenced by our view of what constitutes a *text*.

Axiomatic to the contemporary translation debate is the view of translating as a communicative process, taking place in a social as well as a linguistic context. Theorists such as Bell, Neubert, Shreve, Hatim and Mason place in an historical context the prescriptive approach, which concentrated on a series of prescriptive norms for

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<sup>1</sup> The notion of *equivalence* is discussed at greater length in the following chapter.

<sup>2</sup> The following chapter contains further discussion of these terms.



achieving a satisfactory 'product', and have adopted a pragmatic approach to translation, discussed later in this chapter, allowing for cultural and situational variables discounted by the 'scientific' school of thought. Positions on these and other matters concerning approaches to translation derive inevitably from our view of the nature of language, how it is acquired and how we use it to communicate.

## 1.2 The Historical Context

Historically, many definitions of translation have been attempted expressing a variety of approaches and points of view. Translation has variously been described as an art, a craft, a science. Eric Jacobsen chose the title Translation, a Traditional Craft and Eugene Nida Towards a Science of Translating. The status of Translation Studies has long since been unclear; a branch of comparative linguistics or comparative literature or a discipline in its own right? We will attempt here to summarise some of the main issues which have been debated over the years. To do so in a comprehensive fashion is beyond the scope of this thesis, which, in the following section aims to outline the significant historical developments which have enabled contemporary theorists to develop approaches and theories which enable us to approach the task of translating in a more contextualised and meaningful manner.

Roman Jakobson (1966:232-9) distinguished three types of translation:

- 1): Intralingual translation, or 'rewording' (an interpretation of verbal signs by means of other signs in the same language).
- 2). Interlingual translation or 'translation proper' (an interpretation of verbal signs by means of some other language.)
- 3). Intersemiotic translation or 'transmutation' (an interpretation of verbal signs by means of signs of nonverbal sign systems).

Of interest to the theatre translator, is this notion of intersemiotic translation, discussed in the following chapter, with its relevance to the semiotic nature of the dramatic performance. He goes on to point out that there is normally no full equivalence through translation:

Only creative transposition is possible: either intralingual transposition - from one poetic shape into another, or interlingual transposition - from one language into another, or finally intersemiotic transposition - from one system of signs into another, e.g. from verbal art into music, dance cinema or painting. (1966:233)

This view of translation from one language to another as part of a continuum, including intralingual translation, highlights the fact that within the same language there exist barriers to understanding of a cultural and linguistic variety which require explication. Perhaps, then, the cultural differences arising between different languages are merely a question of degree. European languages, belonging to a broadly similar cultural heritage, should therefore present less difficulty in this respect than those belonging to different language families where minimum cultural contact has been maintained, as pointed out in chapter 2 of this work.

Saussure, in his Cours de Linguistique Générale employs terminology and introduces concepts which were to influence contemporary views on language and communication, thereby allowing insights from linguistics to inform the debate on translation. The linguistically oriented Leipzig school defined translation studies as a branch of applied linguistics, aiming to make translation studies a rigorous scientific



discipline. As Snell-Hornby points out (1988:14) this particular orientation has led to "a dead end".

Nevertheless, the development of linguistics has paralleled and influenced the development of translation studies and the metalanguage of linguistics and the insights offered by the discipline into the nature of language, could not help but influence translation studies.

The effects on translation of the *signified* and *signifier* and the importance which should be given to each in the process of translation has been central to the translation debate. The differentiation between what Saussure calls 'parole' and 'langue' introduces us to the all-important notion of context. The fact that each sign is embedded in a set of rules and structures, both linguistic and non-linguistic, explains the impossibility of perfect interlingual translation and the need to view the text in a more holistic manner.

There is, however, no overall agreement concerning the role of linguistic theory in translation studies. Snell-Hornby points out that translating is not exclusively a language activity and the cultural aspects of literary translation, outlined in the following chapter, would tend to support this view. Pragmatists, such as Beaugrande, (1978:8) argue that translation studies must pursue areas beyond linguistics. A central aim of this thesis is to examine the view that translating is concerned with pragmatic as well as linguistic knowledge, whereby the notion of the speech act adds the idea of action to utterance meaning, enabling us to adjust our idea of *equivalence* in translation and to incorporate the notion of the analysis at the level of discourse.

Developments in the field of linguistics were important in allowing translation studies to abandon the traditional, philological approach, with its lack of distinction between *langue* and *parole* and its concentration on form rather than content, the literary rather than the non-literary text.

Eugene Nida has been an influential figure in the development of translation studies and his model in The Theory and Practice of Translation proposed a three stage process, involving 'source language text', followed by 'analysis', followed in turn by 'restructuring' and 'target language text'. The stage of analysis involves the collecting of information about the SL text. 'Restructuring' involves the choice between the various possibilities offered by the TL.

Nida's analytical approach to translation, employing approaches and terminology which remain with us, introduces a more rigorous and academic tone to the debate, hitherto characterised by a prescriptive approach. The notion of *equivalence* has traditionally been of central concern to theorists and practitioners alike and is axiomatic to the debate, defining stances and, frequently, reflecting the historical concern with the *sacredness* of the word shown by those translating sacred texts.

Nida characterises the translators of 'great works' in his concern with the *sacredness* of the word. He differentiates between two types of equivalence:

#### Formal equivalence:

A quality of translation in which the features of the form of the source text have been mechanically reproduced in the receptor language. Typically, formal correspondence distorts the grammatical and stylistic



patterns of the receptor language, and hence distorts the message, so as to cause the receptor to misunderstand or to labour unduly hard.

Dynamic equivalence:

The quality of translation in which the message of the original text has been so transported into the receptor language that the RESPONSE of the RECEPTOR is essentially like that of the original receptors. Frequently the form of the original text is changed, but as long as the change follows the rules of back transformation in the source language, of contextual consistency in the transfer, and of transformation in the receptor language, the message is preserved and the translation is faithful. (Nida 1964:45)

Clearly, to aspire in translation to such a similarity of *response* is to ignore all the variables of a personal nature which affect our response to any text, even within a shared linguistic code, whereby the individual reader interprets the text in the light of his or her own experiences. Nida's concern with the semantic content and with *faithfulness* may be attributable to the fact that the majority of his work has been as a bible translator, hence the importance of the message. As Gentzler (1993:68) points out, the development of Chomsky's generative transformational grammar lent credence to Nida's *scientific approach* to translation and his deep-structure approach to translation theory. Chomsky's notion of universals appeared to strike a chord with the evangelical zeal of the bible translators, whose aim was to make the word of God universally acceptable.<sup>3</sup> Nida was an early proponent of the 'scientific' approach, employing componential analysis in an attempt to document *meaning* in the precisest possible way. Chomsky himself argues against the idea that the form of one language necessarily equalled the form of another. As Gentzler points out, "a linguistic methodology which isolates its model from spoken language is both overly idealistic and perhaps too

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<sup>3</sup> For a comprehensive study of the relationship between Chomsky's deep structures and Nida's Scientific approach v. Gentzler, E. *Contemporary Translation Theories* 1993.

theoretical for most translators' taste" (1993:51). It is interesting to note that Nida, in his lecture at the Complutense University<sup>4</sup>, Madrid 1994, stressed the importance of a sociolinguistic approach to translating.

The contribution made by Chomsky in the field of generative grammar has had surprisingly little impact on translations studies and Steiner's comments on the irrelevance of universals to translation studies is of interest. Steiner argues that the search for formal and substantive universals is hindered by our scanty knowledge of all world languages and the danger of over-reliance of linguists on the English language model. The postulate of linguistic universals should lead to a theory of interlingual translation, based on the principle of substantive universality. The fact that translation is not immediately used to supply that principle with clear evidence, he argues, weakens the mentalist's case:

The very possibility of motion of meaning between languages would seem to be firmly rooted in the underlying templet or common architecture of all human speech. But how is one to distinguish substantive from formal universals? How, except by theoretical *fiat* at one end or local intuition at the other, can one determine whether actual untranslatabilities persist because universals are only rarely or obscurely substantive? The discrimination is cogent in theory but has not been shown to be so in practice. (1992:110)

Steiner quotes Chomsky in support of his argument:

The existence of deep-seated formal universals....implies that all languages are cut to the same pattern, but does not imply that there is any point by point correspondence between particular languages. It does

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<sup>4</sup>Jornadas Complutenses en Turno a la Traducción, Feb. 1994.



not, for example, imply that there must be some reasonable procedure for translating between languages ( in Steiner 1992:111) <sup>5</sup>

Again the problem of the nature of translation is axiomatic to the problems of language and communication. Steiner is clearly unhappy with the mentalist's stress on syntax and emphasises the importance of semantics and pragmatics:

There is room, I submit, for an approach whose bias of interest focuses on languages rather than on Language; whose evidence will derive from semantics (with all the implicit stress on meaning) rather than on 'pure syntax'; and which will begin with words, difficult as these are to define, rather than with imaginary strings of 'pro-verbs' of which there can never be any direct presentation. (1992:112)

Steiner argues that, in a general sense, rather than in Wittgenstein's use of the expression, there is such a thing as 'private language' and it is this belief, the idea of the supremacy of individual communication and the problems of translation inherent in every speech act, which leads us to an approach based on the analysis of the text as a whole. He claims that "all communication 'interprets' between privacies." (207) This plea for greater emphasis on the differences between languages invites an approach to translation studies deriving from comparative linguistics.

The apparent gap between, on the one hand, the notion of the *lingua universalis*, and, on the other, the emphasis placed on each individual utterance does little to remove the barriers to understanding, in both inter and intralinguistic communications, of cultural, linguistic and social context which is the daily problem of the

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<sup>5</sup> It is interesting to note that Chomskian notions have resurfaced in the writing of Toury (1980), who comments that the occurrence of interlanguage forms in translation represents 'translation universals', which he sees as "...living evidence of the universal". (1980:72)

translator/communicator. Steiner's views on the nature of language and of translation as acts of communication again led away from the prescriptive approach previously mentioned. His writings on the subject served to intensify the debate on translation and his insights into language as an act of communication have provided stimulus for the application to translation studies of work in other fields, such as psychology, communications and centred it within linguistics.

Steiner (1992:29) added a new dimension to thinking on translation by pointing out that all human interaction requires translation. Having demonstrated the depth and complexity of the text in question, Steiner asks how many of Shakespeare's contemporaries understood *Cymbeline*. He goes on to point out that when we hear or read any language statement from the past we translate. The schematic model of translation is one in which a message from a source-language passes into a receptor language, via a transformational process. An interpretive transfer takes place, coding and decoding, in order that the message be communicated. He argues that the same model is operative within a single language. The barrier, in the case of an archaic text, is time. In the case of the bi-lingual communication, the barrier is that of linguistic difference.

The model 'sender to receiver' which represents any semiological and semantic process is ontologically equivalent to the model 'source language to receptor language' used in the theory of translation. In both schemes there is 'in the middle' an operation of interpretive decipherment, an encoding decoding function or synapse. Where two or more languages are in articulate communication, the barriers in the middle will obviously be more salient, and the enterprise of intelligibility more conscious. But the 'motions of spirit', to use Dante's phrase, are rigorously analogous. (Steiner 1992:112)



According to Steiner, "history is a speech act, a selective use of the past tense". "Silence knows no history", he comments (1992:30) and points out that every generation re-writes the classics and reconstructs history in its own idiom, presumably bringing to it new insights, new interpretations, according to its own experience, much as one would to a translation. He suggests a spectrum of translational activity of both an *inter* and *intralingual* variety, a notion which was to provide useful insights for future theorists to develop.

He states that "any model of communication is at the same time a model of *translation*"<sup>6</sup>, referring, not only to historical texts, translated 'across time', but also to diachronic communication, the communication of sociolect and idiolect, stressing the private residue of every communicatory gesture. (1992:479) Barriers to communication are manifold and range from the degree of intimacy derived from close-knit communication to the distances created by class, geographical distance, time and so on. The problems posed by intralingual translation, he argues, are no less a barrier than those posed by interlingual translation of various sorts.

Steiner employs terminology and concepts borrowed from Nida with his reference to *encoding* and *decoding* and *sender* and *receiver* and a view of language as communication. His notion that all human communication is an act of translation, whether interlingual or intralingual, is an interesting one which alters our perspectives on translation.

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<sup>6</sup> Author's hyphenation



The move towards a more holistic approach to translation may be found in Catford's notion of translating on four planes of language, the phonological, graphological, grammatical and lexical. His model was Scale and Category Grammar, an early version of systemic grammar. He incorporated the concept of *rank* from Scale and Category grammar, suggesting that translators should begin with morpheme rank and for each item postulate a most probable equivalent. Catford (1965), unlike most formal linguists, did concern himself with meaning and his work denotes a shift away from purely morpho-syntactic concerns and towards semantic and cultural ones. Nida's preoccupation with semantic meaning and his search for universals precluded a holistic view of the text and a perception of the communicative nature of language. However, notions of communicative translation were concerned with a more contextualised approach to language.

The notion of semantic translation and communicative translation is summarised as follows by Newmark (1982:35) :

Communicative translation is an attempt to produce on its reader an effect as close as possible to that obtained on the reader of the original. Semantic translation attempts to render, as closely as the semantic and syntactic structures of the second language allow, the exact contextual meaning of the original.

According to Newmark, semantic translation shows a source language bias and communicative translation a target language bias. The former is text-oriented and the latter reader-oriented. Semantic/communicative translation aims to achieve a balanced synthesis of both, although inevitably any translation implies a loss and gain in the process. Both Catford and Newmark, however, remained overly concerned with their notion of *faithfulness* and show a distinct bias in favour of the source text, which went

largely unchallenged. Equally they displayed a tendency to consider the unit of translation at sentence level and made little mention of linguistic context.

Work published in the last decade or so on text linguistics, discussed later in this chapter, has altered our perspective on the process of translation, the unit of translation and our notion of *equivalence*. Nevertheless, with regard to the formation of a school of thought concerned with the need for rigour in translation studies, these earlier contributions were valuable.

Bell (1991) in his book Translation and Translating approaches these issues by investigating the nature of translation itself and suggests approaches to the description and explanation of translation as both process and product, using an approach employing models and analogies as heuristic devices in the evolution of a theory based on systemic linguistics and employing insights from psycholinguistics and sociolinguistics. Hatim and Mason (1990) and Neubert and Shreve (1992) similarly apply the principles of discourse analysis to translating.

Bell summarises the arguments put forward throughout history, which represent the normative approach to translation, largely consisting of a series of 'do's' and don'ts', sometimes helpful, but frequently contradictory and misleading. They broadly consist of normative prescriptions and a number of descriptions of what is deemed to be a 'good translation' and none of them represent any attempt to formulate a theory of translation as such.



Bell argues that all communicators, whether listeners, readers, monolinguals or bilinguals, face essentially the same problem; they receive signals (in speech and in writing) containing messages encoded in a communication system which is not, by definition, identical with their own. He supports the view that to make sense of a text is, in fact, to deconstruct it and then to reconstruct it and that any model of discourse is at once a model of translation, differentiated only in the re-encoding process, the difference in decoding being one of degree only.

Using ideas influenced by information theory, Bell puts forward nine steps which represent the communication process:

1. the sender selects message and code
2. encodes message
3. selects channel
4. transmits signal containing message
5. receiver receives signal containing message
6. recognises code
7. decodes signal
8. retrieves message and
9. comprehends signal

It is stressed that this is by no means a unidirectional and linear process, but rather cyclical and cooperative. A second model is provided, illustrating the contrast between the monolingual and bilingual process, step 5 in the monolingual process being equated with step one in the bilingual process.

1. translator receives signal 1 containing message
2. recognises code 1
3. decodes signal 1
4. retrieves message
5. comprehends message
6. translator selects code 2
7. encodes message by means of code 2
8. selects channel
9. transmits signal 2 containing message.(1991:18-19)

It is noted that there are several crucial points of difference between monolingual and bilingual communication involving written communication: there are two codes, two signals (or utterances or texts) and given the impossibility of 100 per cent equivalence, two sets of content. The process, according to Bell, involves a psycholinguistic explanation and a sociolinguistic or textlinguistic explanation, focusing on the participants, on the nature of the message and social context. Bell seeks to formulate strategies based on a descriptive rather than prescriptive approach.

Bell proposes the reintegration of the study of translation within the human sciences, particularly psychology and linguistics, and provides a model of the translation process, examining 'translator competence' and employing a psycholinguistic model of the process, based on work done in the field of cognitive science, text processing and systemic linguistics.



Like Bell (1991), Neubert and Shreve (1992), Hatim and Mason (1990) stress the communicative aspects of texts and in so doing represent a research direction which is differentiated by its performative and interactional emphasis from those focusing on the systemic nature of linguistic relations that exist in translation. They emphasise the context in which the language structures are situated, while acknowledging that, "human interaction is a patterned, rule-governed use of linguistic signs." Neubert and Shreve (1992:38) point out that our socialisation in linguistic communities teaches us to produce and receive texts and that, because knowledge of texts is a result of *enculturation*, the textual knowledge we have is culture-bound. Translation, according to Neubert and Shreve, is "an attempt to cross both linguistic and textual frontiers." (38). These theorists stress the social nature of translation and hence place emphasis on the *process* rather than the *product* of translation.

They go on to point out (1992:45) that the linguistic system, pragmatic constraints, world knowledge and meaning systems all converge in the act of translation. "Translation is a synthetic process in which the translator dynamically matches semantic, syntactic, textual and pragmatic fields to create a unitary whole, the L<sub>2</sub> text". Textuality, according to Neubert and Shreve, "integrates translation procedure and world knowledge with the text as product."

Insights deriving from Toury (1980), Even-Zohar (1979) and Hermans (1985), whose work is discussed in the following chapter, have further polarised the debate on translation, with regard to the orientation of the text towards the target language or the

source language, and have widened the perennial discussion concerning *equivalence*, which we now examine.<sup>7</sup>

### 1.3. Semantic and stylistic equivalence:

The debate regarding the nature of translation may be followed using as a focal point the notion of *equivalence*. The term acts as a yardstick for a variety of different approaches to translation. Snell-Hornby (1988:17) illustrates the illusion of *equivalence* by pointing to the common use of the German *Äquivalenz* as though it were a rendering of a common *interlingual tertium comparationis*, whereas, there are subtle differences of meaning. Attempts to define equivalence have frequently been notable for their circularity and lack of clarity, serving to indicate the writer's own confusion on the subject. Hartmann and Stork (in Bell 1992:16) give the following definitions:

Translation is the replacement of a representation of a text in one language by a representation of an equivalent text in a second language.

The exact nature of this 'equivalence' is not commented upon. However, later, it is expanded:

Texts in different languages can be equivalent in different degrees (fully or partially equivalent), in respect of different levels of presentation (equivalent in respect of context, of semantics of grammar, of lexis etc.)

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<sup>7</sup> Chapter 2 contains a more detailed account of Toury's work .

and at different ranks (word-for-word, phrase-for-phrase, sentence-for-sentence) (1991:26)

This comes nearer to an explanation of the term, but remains vague. Such vague definitions are frequent:

Replacement of textual material in one language (SL) by equivalent textual material in another (TL). Catford (1965:20)

Catford falls into the trap of dictionary definitions, employing the very word he is attempting to define. If the difficulty resides in our view of what constitutes *equivalence*, this definition is less than helpful. He does, however, go on to explain the term *textual material*, which replaces *grammar and lexis*.

Wilss (1982:3) defines translation equivalence thus:

a transfer process which aims at the transformation of a written SL text into an optimally equivalent version of a written TL text.

This definition would cover almost any reasonable process of translation and again fails to define the concept. Neubert (1985:25) states that:

It is only within the framework of the text that meaning or rather communicative values may be said to be equivalent. Equivalence holds between texts only.

This view is interesting as it actually gets away from the notion of equivalence as commonly held, i.e. of sentence and word level formal equivalence. It also introduces the notions of textual context and communicative values.



Bell, whose approach is based on the pragmatic analysis of the text as a whole, comments that,

it is apparent, and has been for a very long time indeed, that the ideal of a total equivalence is a chimera. Languages are different from each other; they are different in form having distinct codes and rules regulating the construction of grammatical stretches of language and these forms have different meanings. Bell (1991: 1.1)

Bell goes on to point out that changing from one language to another involves changing forms which convey meanings; something is always lost and perhaps gained, hence the Italian aphorism 'traduttore traditore'. He asks what the alternatives are regarding the 'preservation' or otherwise of 'equivalence' and points out that the answer hinges on the dual nature of language itself:

Language is a formal structure, a code which consists of elements which can combine to signal semantic sense and, at the same time a communication system which uses the forms of the code to refer to entities (in the world of the senses and the world of the mind) and create signals which possess communicative 'value'. (1991:1.1.i.)

The translator, therefore, has the option of "focusing on finding formal equivalents which 'preserve' the context-free semantic sense of the text at the expense of its context-sensitive communicative value or finding functional equivalents which preserve the context-sensitive communicative value of the text at the expense of its context-free semantic sense." (1991:7)

It would appear that the earlier views outlined represent the notion that there is a one-to-one relationship between the linguistic properties of the SL and the TL and equivalence is somehow regarded as an aim in itself, a result rather than a process. The view expressed by Bell identifies the search for equivalence as taking place through the



analysis of discourse, accepting that discourse types are characterised by communicative purpose and that different discourse types require different transfer methods and different equivalence criteria.

Our understanding of equivalence is based on the very way we conceive translation. If we consider translation to be a means of communication, a process by which communication takes place interlingually to produce communicative messages in the TL, then we find it hard to accept the notion of equivalence as the simple matching between two languages, but rather a product of the dynamic process of communication between the communicator of the SL and the receptor of the TL. The need for a pragmatic approach to the search for intended meaning in the SL and the expression of that meaning in the TL is further discussed in the following chapter on the translation of the literary text and of dramatic discourse in particular. The notion of one-to-one *equivalence* has largely been replaced by the notion of pragmatic equivalence. This takes us into the field of discourse analysis, where the text in its entirety is considered as a unit. If we are to consider the text in context we have to examine the communicative dimension as well as the pragmatic dimension and, particularly in the case of dramatic discourse, the semiotic dimension of the text. Before discussing the need for a discourse analysis approach to translation and examining the implications of this, both from the point of view of our understanding of the source text and our reconstruction of the target text, we shall further examine the notion of *equivalence* from a *functional-relational* point of view.

Toury (1980) gives a definition of interlingual translation, based on Catford's definition (1965:14):

Translation in the strict sense is the replacement of one message, encoded in one natural language, by an equivalent message, encoded in another language.

He goes on to outline three basic conditions required for translation:

- a. The presence of two different languages as codes;
- b. The presence of two distinct messages, encoded in each of the two codes;
- c. The existence of a certain relationship between the two messages, irrespective of the relationships obtaining between the two codes.

The relationship referred to is that usually designated *equivalence* and is a "necessary, though not sufficient condition for the identification and definition of a certain process and/or its product as a *translation*." Toury, with reference to norm-governed translational relationships, makes the following claim:

Since translational norms are not a given quantity, but a changing factor, it seems best to regard the entire set of TT-ST relationships, as the system of *potential equivalence*. (1980:25)

This turning of the whole debate on its head derives from a descriptive approach to translation studies which argues for a comparative analysis of TT and ST to enable the establishment of the norms displayed by corpora of translated texts. The empirical study of the concrete relationships existing in translated texts has as its aim the bridging of the gap between descriptive and theoretical studies.

Toury attempts to differentiate between *equivalence* as an observable fact and the theoretical concept of *equivalence*, which could be described as "that relationship

between two linguistic utterances defining translation." or "distinguishing translation from non-translation." (1980:67)

The claim implicit in this view of *equivalence*, that the TT-ST relationship is characteristic of and defines translation, that, in effect translation is equivalence, is rather a circular argument. The search for norms to enable the establishment of models is, no doubt, the recognition of an everyday reality, which is an instinctive part of the translation process. Empirical research on corpora of translated texts may enable us to document and define the working norms translators instinctively use and would no doubt represent a valuable addition to the body of knowledge available to translations studies. The discussion on norms and polarisation, outlined in the following chapter, and the recognition of certain norms and conventions in the analysis of the academic text (Ch5) : demonstrate the practical application of this contrastive-descriptive approach. However, in order to recognise the functional- relational nature of equivalence and in order to establish the norms and conventions, systems and sub-systems of the text we shall first examine views on the nature of the text and approaches to the analysis of discourse.

#### 1.4. Text and Discourse:

We mentioned previously the importance of context for the understanding of lexical and grammatical items. The understanding of a text requires more than a mere understanding of linguistic features in isolation, contextual information is clearly

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8 v. concluding chapter for findings regarding norms in the academic text.



necessary. Hymes (1962) views the role of context as both limiting the range of possibilities and supporting the intended interpretation:

The use of a linguistic form identifies a range of meanings. A context can support a range of meanings. When a form is used in a context it eliminates the meanings possible to that context, other than those the form can signal: the context eliminates from consideration the meanings possible to the form other than those the context can support. (1962:45)

He also identifies various contextual features, such as topic, setting, channel, code, message form, event, key and purpose, which he considers should be regarded much as general phonetic features are regarded by the analyst.

Labov (1972) also indicates the importance of contextual features by identifying linguistic variables, as well as the linguistic and social constraints that govern their use. He maintains that if language structure and the evaluation of language within a social context are to be understood, we must move beyond the analysis of phonetic and morphological variables. It can, however, be argued that Labov's attempts at integrating systematic variability into a grammatical model have been limited to the level of rules. These variables and rules were conceived within a framework that may be said to owe much to the early Chomskian model of generative grammar. It can also be argued that language analysis based on the sentence is not necessarily the best way of producing the variability that is found when language is analysed in its communicative context.

The notion of contextualisation has been applied to translation studies by contemporary theorists. According to Bell (1991), Hatim and Mason (1990) and Beaugrande (1978) and others, we must take the analysis of the formal aspects of the

code beyond the sentence and into the text. The discussion regarding the size of the unit of translation and the question of adherence to the original text is currently being answered by a tendency amongst translation theorists to consider the translation as a *new text* derived from the reading, or *deconstruction* of the original. "A reconstruction rather than a copy". Bell (1991:161).

Saussure (1955:122) commented that in a language everything is based on relations, which is to say that any linguistic item is meaningless independent of its relation to other items in the system. Having generally accepted the view that communicative purpose and contextualisation stand in complementary relation to linguistic features, translation theorists have embraced a discourse analysis framework in preference to the sentence level approach previously adhered to. The analysis of the text requires us to search for standards of textuality, or to examine what constitutes a text.

Bell (1991:164) specifies standards of textuality, using the following parameters:

1. Cohesion - how clauses hold together
2. Coherence - how propositions hold together.
3. Intentionality - the reason for the speaker/writer having produced the utterance.
4. Acceptability - the way in which it is received by the reader/listener.
5. Informativity - what the reader/listener is told.
6. Relevance - what the text is for.
7. Intertextuality - what other texts does this resemble.

While it is generally agreed that discourse analysis involves the study of discourse beyond the sentence, there is no one universally accepted assumption concerning approaches to it. Neubert and Shreve (1992) give similar standards of textuality as those employed by Bell. Form/function relations within the structure concern some researchers, yet others focus on language in use in different contexts. One division emerges between the analysis of the interactional structures of spoken language and the features of written discourse.

The identification of concepts such as theme and rheme, topic-comment, context, frames, frameworks, schemata are common pursuits in this field, concerning scholars in applied linguistics, psycholinguistics and artificial intelligence.

The use of systemic grammar as a framework on which to base analyses also indicates a view of translation as a dynamic process in which a series of interrogatives are applied to a text in an attempt to deconstruct and understand its content through close reading. (Bell 1991)

Bell distinguishes *text* from *discourse* using the following definitions:

**Text:** the formal product of selections of options from the THEME systems of the grammar; a unit which carries the semantic sense of the proposition, propositional content and locutionary force of the speech act through sentences which are linked by means of cohesion.

**Discourse:** a communicative event which draws on the meaning potential of the language (and other systems of communication) to carry communicative value (the illocutionary force) of speech acts through utterances which are linked by means of coherence. (1991:163)



Newmark comments negatively on the present 'confusing tendency' for translation theorists to regard the whole text, the basis of discourse analysis, as the unit of translation. In Newmark's view this debate reflects the 'literal' versus 'free' translation debate, "the freer the translation, the longer the UT; the more literal the translation, the shorter the UT, the closer to the word, or in poetry, even to the morpheme". He refers to this as "a futile, unprofitable argument." For Newmark the paragraph is the natural unit of thought and the sentence "the natural unit of translation" (1982:19)

It is perhaps worth distinguishing here between the unit undergoing translation at a particular instant and the text to be translated. In our own case, that of a play with rather unique features of discourse, it is helpful and indeed necessary, to consider the unit as the entire play. To give a concrete example; the play in question contains elements of 16th Spanish theatre, discernible from characterisation, costume and certain linguistic items. In the absence of direct temporal and cultural equivalents, it is appropriate to occasionally use Shakespearean language in the TT version to convey this period flavour. To do so in the circumstances in which they arise in the ST may be less understandable in the TT. Only by considering the author's intentionality in the context of the work in its entirety, as gleaned from a wider understanding of the artistic influences at work in the play, can we attempt to convey these and other elements vital to the play as a whole.

This approach to language as a text derives from a social theory of language, known as the systemic-functional model, developed by Halliday in the sixties and seventies. The metalanguage of discourse analysis, the notions of register and the sub-divisions of field, mode and tenor derive from work by Halliday. The categorisation of language

into functions, developed from work by Searle and Austin, mentioned later in this chapter, is a further aspect of Halliday's work of relevance to the translator.

Halliday (1985:135) suggests that language has three major functions:

- a. ideational function which expresses relations and experience of the outside world.
- b. interpersonal function which encodes speech roles and conveys the attitude of the speaker towards the content of the message.
- c. textual function which is concerned with creating text, cohesion being one of the methods of realising this.

He claims that there are consequent realisations of sets of features at one level by a set of features at the next lower level, but gives no explanation as to reasons for the speaker's choice. He claims that there is no way of tracking the process whereby a speaker or writer has arrived at a particular mode of expression in the discourse

Halliday (1975), in his work on child language, raises questions concerning the child's acquisition through language of an entire social system and examines the links between the learning of language and the learning of culture. The fact that the linguistic system is part of the social system and the fact that a child constructs a reality largely by means of language leads him to conclude that the social system as a semiotic, a system of meanings that is realised through the linguistic system. Interlingual communication, therefore, could be seen as a mediation between two social semiotics, the 'networks of meanings that constitutes the culture.' (1975:56) This is also of

relevance to translation studies in so far as it emphasises the importance of culture in meaning and the need to contextualise meaning.

Widdowson (1974:75) distinguishes between text analysis and discourse analysis, a much-debated topic and one of particular relevance to the theatre translator concerned with dramatic discourse:

The investigation into the formal properties of a piece of language should be called text analysis. Its purpose is to discover how a text exemplifies the operation of the sentence, text being roughly defined therefore as sentences in combination... We may now use the label discourse analysis to refer to the investigation into the ways sentences are put to communicative use. (1974:52)

He uses the terms 'cohesion procedures' and 'coherence procedures', in the same way as Bell (1991) to explain his approach to discourse analysis. Clearly, the threads of discourse which bind the text together are only discernible when we view the text as a whole and so these notions are relevant to the debate on the unit of translation. Our own analyses in this work are influenced by these notions of coherence and cohesion and the causal relationships, particularly in evidence in the academic text, existing between different parts of the text serve to demonstrate the importance of these concepts to the work of the translator.

Again the relevance to the unit of translation can be seen from Halliday and Hasan's account of 'cohesion', which takes into account the *texture* of a text, provided by the 'cohesive relation' (1975:2) which is set up when the interpretation of some element of the discourse is dependent on that of another. The one presupposing the other in such a way that it cannot be effectively decoded without it. They outline a



taxonomy of cohesive 'ties' which bind a text together, although recognising that it is the underlying semantic relationships which actually have the cohesive power. This taxonomy of cohesive ties is illustrated in our analysis of the academic text given in chapter 5 of this work.

De Beaugrande and Dressler (1981:31) establish a similar discourse model which they term the 'procedural approach', emphasising that, "our notions of 'cohesion and coherence' can be helpful in studying a text only if they deal with how connections and relations are actually set up among communicative occurrences."

The procedural approach to the study of texts in communication, where, on the one hand, there is a syntactic procedure which produces a grammatical network, and on the other, there are conceptual relations, e.g. states of..., substance of..., reason of....etc., does not limit itself to the analysis of linguistic features as De Beaugrande and Dressler (1981:19) point out:

The discovery of units and structural patterns, though still a central activity of investigation, is not a goal in itself. Instead, we are concerned with the operations which manipulate units and patterns during the utilization of language systems in application.

In Factors in a Theory of Poetic Translating de Beaugrande proposes several hypotheses reflecting the above approaches to discourse:

- a. The relevant unit for translation is not the individual word or unit but the text.

- b. Translating should not be studied as a comparing and contrasting of two texts but as a process of interaction between, author translator and reader.
- c. The interesting factors are not the text features themselves, but underlying strategies of language use as reflected in text features.
- d. The strategies must be seen in the context of communicating.
- e. The act of translation is guided by sets of strategies which respond to the directives within the text (systemic differences, type of language use, equivalent context.)(1978:25)

The Yule and Brown's (1985) model of discourse analysis adopts a functional approach, using the terms *transactional* for functions used to express content and *interactional* for those expressing social relations and personal attitudes. These categories, they claim, stand in general correspondence to the following functional dichotomies:

Jacobson's *representative/expressive*; Halliday's *ideational/interpersonal*; Lyon's *descriptive/social expressive*.

Bühler (1965:17) distinguishes three language functions:

- a. representational or referential: referring to objects and their relations in the real world.
- b. emotive and expressive: concerning the speaker/writer of the message.
- c. conative: referring to the receptor of the message.

These classifications have since been adapted and developed by Newmark (1982), who uses the following categorisations:

- a. expressive: literary and authoritative texts.
- b. informative: scientific and technical texts, etc.
- c. vocative: advertising, contracts, tenders etc.

Clearly, though, the reality is that texts rarely fit neatly into any particular category and, however valuable these attempts to categorise may be in encouraging close scrutiny of the text, the analysis of any particular text frequently leaves doubts as to the particular function employed. Snell-Hornby's (1988:31) view on text typologies, commented on in detail in the next chapter, seeks to replace sharp divisions by the notion of gradual transition.

### 1.5 Speech-Act Theory

The way in which speech act theory provides a basis for pragmatic analysis and introduces us to a more complex and complete notion of *equivalence*, involving a number of criteria, such as equivalence of illocutionary force as well as propositional content, may be seen from the following brief summary of the theoretical bases for this approach.

The Oxford philosopher John Austin (1962) introduced the notion of speech acts, distinguishing three acts:



- a. the illocutionary act
- b. the locutionary act
- c. the perlocutionary act

The *illocutionary act* is the intentional meaning, the *locutionary act* is the actual saying of the utterance, the *perlocutionary act* is that which is performed by the hearers as a result of the former speech acts.

Searle (1969:35) developed the theory further, cataloguing the variety of activities possibly performed by the speaker while making an utterance. Searle draws up two different types of rules governing speech act behaviour:

i) Constitutive rules which define behaviour which is thereby brought into existence, e.g. the rules of a game define otherwise chaotic behaviour as that game and without the rules the behaviour might otherwise occur but would not be so named. Also the constitutive rule is - unlike the second type of rule - the regulative - essentially descriptive and can be formulated as an equative: X counts as Y.

ii) Regulative rules which control pre-existing forms of behaviour, e.g. the rules of etiquette control (or regulate) social interaction but social interaction antedates the creation of the rules and is in no sense brought into being by those rules. Further the regulative rule is essentially prescriptive and can be formulated as an imperative, do X or if Y, do X (and their negative forms.)

In the case of *indirect speech acts*, in particular, the codes in question are social codes, models of society and constitute part of the social norms of a given society. Searle's hypothesis is that speaking a language is engaging in rule-governed forms of behaviour. In order to substantiate the hypothesis, he stated the above rules according to which we talk. He states clearly:

The unit of linguistic communication is not, as has generally been supposed, the symbol, word or sentence, or even the token of the symbol, word or sentence, but rather the production or issuance of the symbol word or sentence in the performance of the speech act.....and speech acts are the basic or minimal units of linguistic communication. (Searle 1969:16)

Skousen (1989:100), however, argues that, "speakers generally lack the ability to make explicit the rules that govern their behaviour", pointing out that "the reason for this inability is not that the rules are somehow inaccessible, but instead that the rules do not actually exist." The violation of norms witnessed in the literary text and documented in chapter 4 of this work provides examples of non-rule governed behaviour which might appear to give credence to this idea. However, the utterances cited in chapter 4 as examples of surreal influence in the work lack meaningful content precisely because they do not fulfill the conditions necessary for the speech act.

Searle states also that he takes it to be an analytic truth about language that anything that can be meant can be said, although he makes clear that he is not necessarily referring to interlingual communication. He refers to this as 'the principle of expressibility' (1969:15) and appears to hint at the existence of *inferior* or less adequate languages, in his view, with phrases, such as, "if the existing language or existing

languages are not adequate to the task, if they simply lack the resources for saying what I mean."

Clearly, this is a philosophical generalisation and not meant to express a view on hierarchies of language. Moreover, he goes on to say that "... different human languages, to the extent that they are intertranslatable, can be regarded as different conventional realisations of the same underlying rules." Searle considers the fact that sentences in one language can be translated into another to be in itself remarkable. (1969:39-40)

The notion of the speech act presents the translator with the problem of categorisation. Jacobson (1958:34) differentiates between six types of language functions, arguing that each is based on a different component of the overall speech situation

*Functions:*

expressive

directive

referential

metalinguistic

phatic

poetic

*Focusing on:*

addresser

addressee



code

contact

message form

Bell (1991:175) indicates the following 'function-indicating devices' which convert the 'proposition' into a particular illocutionary force in English:

1. Word and sentence stress
2. Intonation
3. Word order
4. Mood in verbs
5. 'Performative' verbs: apologise assert deny...
6. The context itself; the norms for the interaction

If, as maintained, all human communication can be broken down into such speech acts, the relevance of this theory to translation is obvious. Clearly, speech acts do not exist in a vacuum and must be examined within a general framework of discourse analysis. This pragmatic approach to texts is a potentially liberating one for the translator, providing greater insight into the unit of translation, although at the same time, opening up the discussion regarding what actually constitutes the unit of translation.

Analysis of the speech act requires the translator to search for underlying meaning using contextual clues, both linguistic and non-linguistic, in order to deconstruct the text. The communicative purpose, in actual communicative situations, is conditioned by

the intention of the language user. The need to incorporate speech act theory into a framework of discourse analysis is obvious as speech acts are linked by the thread of discourse.

Van Dijk (1988:31) discusses macro-speech acts combining numerous micro-speech acts, giving as an example a telephone conversation combining proposals, questions, assertions etc. and illustrating how these combine to form 'a global speech act'. The conversation in question involves a proposal to purchase and includes greetings, explanations and other complementary propositions, all of which are necessary to obtain the ultimate objective of the conversation and which form part of the conventions of social behaviour. This has obvious implications for translation and in particular for the debate about the size of the unit of translation. Van Dijk's notion of the macro-speech act enables the translator to convey textual characteristics of the text, such as the use of archaic language in the play *Pelo*, in scenes where this may not occur, but where it is more convincing to do so in the TT. The justification for this may be found in viewing the textual characteristics, such as intentionality, as pertaining to the text as a whole.

The 'macro-structure' of the speech act, according to Van Dijk, is to reduce and integrate the information and at the same time to organise it into certain 'macro-categories' which determine the function of the discourse as a whole. This provides a basis for categorising types of discourse by identifying the macro-speech act from the innumerable micro-speech acts contained therein. Accordingly, Van Dijk aims at a process-oriented model of the text, starting with the 'macro-structure'

### 1.6 .Concluding remarks

We assume, therefore, with regard to our own approach to the translation of *Pelo*, that equivalence is based on the criteria previously established for the execution of a successful speech act; ie. equivalence of illocutionary force as well as proposition. We also assume that the co-textual and contextual information required to judge these is derived from an analysis of the entire text, taking into account the conditions of textuality previously outlined. We also consider valid Van Dijk's notion of the macro-speech act or, what is also referred to as the 'illocutionary structure' of the text, determining its progression and supporting its coherence. Hatim and Mason (1990:77).

We agree with the view given by Beaugrande that the relevant unit of translation is not the individual word or unit but the text and propose to employ Bell's features of textuality as a basis for the analysis of the texts to be translated.

Both the analysis of the literary and non-literary text carried out in this work employ techniques outlined by Bell(1991), Neubert and Shreve (1992) and others for the analysis of discourse and their proposed criteria for judging textuality. The emphasis



on the importance of linguistic context, the parameters of textuality and the focus on the speech act, outlined later in this chapter, form the basis for these analyses.

In the following chapter we go on to discuss questions related specifically to texts of a literary nature, discussing the nature of such texts, approaches to translating them and dealing with the specific problems they engender, and also consider whether it is valid to speak of a *literary* text.

## Chapter 2 - The Literary Text

### Introduction

As this work involves the translation of a literary text, we shall examine work on stylistics, linguistics and the philosophy of language in order to derive insights into the nature of the literary text. The potential field is enormous as the subject is one which embraces work from a wide variety of disciplines. The areas of overlap between these disciplines provides a fruitful topic of discussion in itself. However, without entering into this debate, we discuss the nature of textuality, and of the literary text in particular, by examining work from all of these disciplines. Of particular interest is the nature of dramatic discourse and the way it may simulate everyday speech, or differ from this, as is the case with the play Pelo de Tormenta.

### 2.1. From poetics to stylistics:

Jakobson's paper on "Linguistics and Poetics", delivered to a conference at Indiana University on 'Style and Language' in 1960, stated that, because the main subject of poetics is the *diferentia specifica* of verbal art in relation to other arts and in relation

to other kinds of verbal behaviour, poetics is entitled to the leading place in literary studies. As poetics deals with problems of verbal structure, and linguistics is the global science of verbal structure, he argued that poetics should be regarded as an integral part of linguistics. Jakobson commented that the insistence on keeping apart poetics and linguistics is warranted only when the field of linguistics is illicitly restricted, as, for example, when the scope of linguistics is confined to grammar alone or to non-semantic questions of form. Our approach to the literary text attempts to combine literary criticism with linguistics and stylistics, while not excluding the relevance of work on the philosophy of language and semiotics.

Pointing to the relevance of painting and cinema to surrealist aesthetics, Jakobson maintained that many artistic symbols belonged not merely to poetics, but to the whole theory of signs, that is to semiotics. Symbols in a dramatic text are provided by both linguistic and non-linguistic means; the stage directions are linguistic signs providing instructions for non-linguistic interpretations, such as gestures, lighting, costume and stage settings, dealt with later in this chapter. The importance of semiotics to the dramatic text cannot be over-stated and Jakobson's comments support our belief that the artistic symbols in the play *Pelo* must also be examined from a semiotic point of view, taking into account performance possibilities.

Given the literary nature of the first of our translations, it is important to examine the question of the literary text under a separate heading, while realising that the heading is potentially misleading and somewhat limiting. Implicitly, the term *literary stylistics* excludes *linguistic stylistics*, which is not our intention. The real intention is to discuss the work, mainly carried out in the last decade or so, although rooted in a



more distant past, which uses insights from the philosophy of language and from linguistics to analyse literary works of art. Carter defines the various branches of stylistics:

**Linguistic Stylistics:** a form of stylistics whose practitioners attempt to derive from the study of style and language a refinement of models for the analysis of language and thus contribute to the development of linguistic theory.

**Literary Stylistics:** a distinguishing feature of work in literary stylistics is the provision of a basis for fuller understanding, appreciation and interpretation of avowedly literary and author-centred texts.

**Affective Stylistics:** is concerned both directly and indirectly with issues of interpretation in the way responses to language in literature are organised. Work in affective stylistics foregrounds the question of how different readers of the same language can make a text in that language 'mean' differently. (Carter 1986:76)

The dramatic text, being at once a text to be read and to be performed, requires insights derived from the field of literary stylistics, semiotics and linguistics. It is therefore important to examine issues in these areas and, in particular, to discuss the developments which have taken place over the last decade or so and which have, to some extent, breached the previous rift between literary criticism and linguistics. Snell Hornby (1988:18) points out, with reference to this traditional division, "It is this rift which has always characterised the theory of translation and even today still dominates translation studies". Characteristically, translation studies has derived insights from the above-mentioned disciplines and it is therefore of importance to examine recent developments in these fields.

David Lodge comments (1988:foreword) that "literary criticism has been drawn into the vortex of a powerful new field of study", with reference to the terms and concepts

drawn from linguistics, psychoanalysis, philosophy. This development has been claimed by some to have undermined the traditional underpinnings of literary criticism, the authority of the literary canon, the validity of empirical scholarship, the capacity for individual responses to primary texts. As Snell-Hornby points out (1988:7-9), the debate has often been emotive and the divisions are noticeable in university departments throughout the world. Post-structuralism has been seen as destructive to these traditional humanist principles. This debate is of direct relevance to the study of translation as it has obvious implications for the analysis of literary texts and also for our view of what constitutes *literary* language, what a *non-literary* text. One possible starting point is the author; our own approach to literary translation has been author-centred, in so far as we found it useful to examine the background of the dramatist in order to better understand his work.

Foucault's essay "What is an author?" (1988) comments that an author's name is not simply an element in a discourse, assuring a classificatory function, such a name permits one to group together a certain number of texts, define them, differentiate them from and contrast them to others. It establishes a relationship between texts of homogeneity, filiation, reciprocal relations or *concomitant utilization*. It enables a work to be distinguished from ordinary speech and, in a certain culture, given a specific status. Foucault uses the term *author function* to characterise and differentiate one discourse from another. He claims that discourse in our culture was not originally *a product*, but essentially a gesture fraught with risks. Clearly, Foucault died before Rushdie revived this earlier perception of authorship.

Nevertheless, by challenging the accepted authority of the author, Foucault opened up approaches to a typology of discourse constructed not solely from grammatical features, formal structures and objects of discourse but he also considered that, "...more likely there exist properties or relationships peculiar to discourse (not reducible to the rules of grammar and logic), and one must use these to distinguish the major categories of discourse" (196). These *properties and relationships* are related to the *author-function* in a society based on property.

According to Foucault, "the modes of circulation, valorisation, attribution and appropriation of discourses vary with each culture and are modified within each." This has an interesting bearing on Nieva whose discourse, in Foucaultian terminology, was *appropriated* and *under-valued* in an undemocratic society. This *under-valorisation* of his early work perhaps helps to explain the mode of discourse employed, with its emphasis on freedom of restrictions and its constant efforts to break with form.

The subject of what exactly constitutes a literary text is one which has been the topic of extensive debate. Enkvist (1985:11-15) in his discussion of *interpretability*, comments on the fact that impromptu utterances and certain modern poems cannot be explicated through the accepted channels of syntax and overt intersentential linkings. Commenting on the concept put forward by Quirk et al. of *acceptability*, meaning the acceptability or otherwise of an utterance as decided by the judgements of informants, he points out that judgements approving or disapproving of a certain expression are inevitably affected by the situation or context in which the expression is presented and that we therefore need a third expression, *contextual acceptability*.



This is relevant to the play *Pelo* in which utterances, unlikely to be considered *acceptable* in other circumstances, are allowable in the context of the theatre. Enkvist's notions of *intelligibility*, *comprehensibility* and *interpretability* allow us to view Nieva's work as *interpretable*, if not immediately *comprehensible*, comprehensibility requiring a 'definite meaning, semantic structure' (1985:7), whereas, "a text is interpretable to those who can build around that text a scenario, a text world, a set of states of affairs in which that text makes sense." Certain texts, he states, can go straight to pragmatic meaning, skirting normal lexis and syntax. Some people can interpret a text which remains oblique to others.

The translator of a literary text does well to bear this basic truth in mind, as the temptation to aid *comprehensibility* in the TL is great and one must remember that there is no absolute requirement to interpret the text *a priori* and make it 'easier' for the TL reader/interpreter than it might be for the SL reader/interpreter, although this has been an express aim of certain translations, such as a translation of Dickens into German, which were translated in such a way as to remove the textual complexity of the original. This may be considered by some as disembowelling a work of art, but others might argue that such a transposition, if accepted by the target audience as such, is a valid translation.

Enkvist (1985:16) points out that, when reading a text on nuclear physics, he can understand some things, but far less than a nuclear physicist. The same principle must apply to the literary text. In literary communication, as in any other variety, there are different readers for different purposes. Rabessa, the translator of the work of García Marquez, is emphatic about the role of the translator as reader and writer:

The fact that people who can read another language well cannot always translate it well into their own tongue means that the translator must also be a writer. He must have at least those 'technical' skills that the writer possesses. Although his own imagination is governed by that of his author, it still must be able to understand and follow what the latter is imagining. (1975:23)

Current theories of reading are therefore important for the translator as they seek to show how the reader derives meaning from the text by means of pragmatic knowledge according to his or her cultural experience, influenced by the time in which he or she is living.

Clearly, the temporal setting of the text aids or detracts from comprehension and, to use Steiner's phrase, 'translation across time' (1992:479) becomes necessary. In Nieva's work, a knowledge of the socio-political reality of the dictatorship is a prerequisite for an understanding of the play. Enkvist comments on this need to anchor a text in its historical setting:

Some, like the New Critics, pretend that literary values can be regarded as timeless and displaced from the provenance, home and age of the text, though apparently with the proviso that the text has been understood. And others find that anchoring a poem in the poet's biography, time and place and circumstances is usually an enhancement and sometimes a necessary key to comprehension and interpretation. (Enkvist 1985:18)

To displace Nieva's work from 'provenance, home and age' would be to risk misunderstanding much of the co-textual aesthetic background, vital for an understanding of the surrealistic and *popular* aspects of the work. Enkvist goes on to point out that at one extreme are texts which invite almost literal interpretation with a maximum of explicitness and a minimum of inference. In such instances "the text producer takes pains to assure maximal congruity between his world and that of the

receptor." (1985:20) At the other extreme are those texts based on suggestivity and inference, on maximal implication. It would clearly be a nonsense to attempt to categorise the literary text absolutely in the latter extreme, although the degree of complexity of the interpretability may act as an indicator. Needless to say, literary texts are as variable one from the other, as are non-literary ones. We need only compare the dialogue of the play *Pelo* with the work of a realist dramatist, such as Buero Vallejo, in order to be presented with an entirely different type of discourse, making different demands on the translator.

Enkvist maintains (1985:23) that "literary communication is definable only in relative social terms, not in absolute linguistic or textual ones". He claims that there appear to be no overt, reliable textual characteristics distinguishing literature proper from non-literature, claiming that those distinguishing features put forward by Jakobson and others exist also in non-literary texts. There are, he states, certain texts, such as versions of the Bible, which are considered literature by some generations and not by others. Literature is, therefore, "...what a certain social group at a certain time decide to regard as literature". This view tends to complement Foucault's notion of the text in relation to the perception of authorship as a cultural concept.

While it is undoubtedly true that sports writers use features of literary discourse and business pages of newspapers contain examples of flowery metaphors, it is perhaps in the *intentionality* of the writer<sup>9</sup> where the key to the distinctive literary text lies and in the relationship between reader and writer. The investigation of such areas as suspension of disbelief and reader-centred research into literature might throw light upon

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9. The term is used here as defined by Bell (1991).



the subject. The nature of the interpretation of dramatic discourse, where the audience is decoding messages written-to-be-performed, filtered by the actor's interpretation, is more complex.

Snell-Hornby (1988) in her work entitled Translation Studies: An Integrated Approach attempts to bridge the gap between the traditional *literary* approach to translation on the one hand, and the overtly non-literary scientific approach on the other. She does so by attempting to employ recently developed concepts from translation theory and linguistics in the practice and analysis of literary translation. She stresses the need to approach a literary text in its situation and to view it as an integral part of its cultural background. Her insistence on the importance of background and socio-cultural setting as a pre-requisite for approaching a text and her concept of translation as a dynamic process, which proceeds from the macro-structure of the text to the micro-unit of the word, influences our analysis of *Pelo*. The background knowledge of the author's life and works widened our understanding of the underlying aesthetic and the recognition of the linguistic expression of this in the text.

Snell-Hornby (1988:26-31) presents as part of her *integrated approach* a text typology based on prototypes, whereby a system of relationships is established between basic text types and aspects of translation. Sharp divisions are replaced by the notion of gradual transition, proceeding from the macro to the micro level in accordance with the gestalt principle, introduced by Lakoff <sup>10</sup>.

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<sup>10</sup> Lakoff, G. (1982) Categories and Cognitive Models, concludes that natural categorisation requires not only a different theory of categories, but also a different world view, based on *experiential aspects*, such as mental imagery, social functions, human intentions and gestalt perception.

Reiss, in her study *Möglichkeiten und Grenzen der Übersetzungskritik* (1971), bases her text typology on Karl Bühler's *Organon-Modell* (Bühler 1965:28), where the three functions of language are shown to lie in *Darstellung*, *Ausdruck* and *Appell*, from which she derives corresponding 'dimensions of language' and 'text types'.

Reiss then proposes criteria for translation according to the respective text-type; metaphor, for example, in an *informative text* need not be translated as such, but in an *expressive text* a metaphor would also be required in the target language. As Snell-Hornby points out, such prescriptive generalisations can be misleading, the majority of texts being hybrid in form, described as,

multi-dimensional structures, with a blend of sometimes seemingly conflicting features: Shakespeare's sonnets contain technical terminology of his day, while modern economic texts abound in lexicalised metaphor, and advertisements are characterised by the varying methods they use to present information. (1988:31)

Having established the difficulty of neat categorisation of literary texts in general, we go on to evaluate the various typologies of dramatic discourse proposed by scholars and to discuss the ways in which these differ from other types of literary discourse.

## 2.2. Dramatic Discourse:

Van Peers (1986:268) comments that, with regard to the distinction between text and discourse, literature belongs to the former category. This definition may not initially appear valid with regard to dramatic performance, but Van Peers claims that dramatic texts correspond to the normally accepted criteria for textuality and that impromptu elements in a play occur rarely and then only round a central textual core which is premeditated in its general structure and content. Drama, according to Van Peers, is essentially composed of texts conceived in such a way as to create the illusion of their being discourse.

Not all texts, however, attempt to create the illusion of realist discourse. This may be true of realist drama, but the Theatre of the Absurd, and plays like *Pelo*, which contains elements of the Absurd and surrealistic and expressionistic elements, differ in their frequent use of dialogue as an art form, although employing seemingly realistic dialogue on occasions.

The fairly recent tradition of pragmatic analysis of literary texts appears not to have been greatly extended to the study of dramatic discourse. According to Hess-Luttich (1985:199), the analysis of the processes of communication in literary dialogue requires the differentiation between the structures and functions of everyday discourse and literary dialogue. Such a study has been carried out by Burton (1985).



Burton offers a modified version of Sinclair and Coulthard's (1975) model for the analysis of classroom discourse applying it to examples of modern drama dialogue, mostly from the plays of Harold Pinter. The analysis undertaken attempts to account for the *alienated* structures of the dialogue, in which numerous silences, non-sequiturs, breaking of rules for turn-taking etc. serve to underscore the kinds of power relations which occur in the dramatised conversation. The technique employed, of examining dramatic discourse by comparing it to everyday speech in order to be aware of those elements which show deviance, influences our approach to the analysis of the play *Pelo*.

According to Burton, (16-23) "it seems fairly obvious that if we want to consider playtalk and its degree of similarity to real talk, then discussing sentences, phrases, alliteration, polysyllabic words and so on, is not going to tell us a great deal. The only possible linguistic level to use for the basis of such analysis is discourse". Her basic argument is that literary dialogues could be read as condensed forms of ethnographic observations of naturally occurring talk, and that literary authors should be regarded as researchers into the basic structures of verbal interaction, given their use of examples from real speech in their fiction. This may be valid with regard to realist drama, but other kinds of dramatic discourse, of a non-realist variety, would lend themselves less readily to such research.

Nor is all realist drama based on *real talk*. In Spanish conversation, for example, the use of interruption in turn-taking is a striking feature, which presents problems for speakers of languages where this is a highly sanctioned form of verbal behaviour. Waiting 'to take your turn' in a conversation in Spain is a fruitless business. Only by interruption can a contribution be made. The result of this in real talk is that there is

frequently a lack of coherence in the discussion and a lack of clarity in the delivery and reception of the message. This may be witnessed on television debates and in everyday conversation. There are, naturally, rules governing turn-taking and precedence, based on such criteria as status within the group (although, interestingly enough, rarely concerning gender), degree of articulateness and speed of delivery. Whether or not the message of an individual speaker is permitted to reach the receiver depends on a variety of arbitrary factors often concerning the degree of agreement likely to be elicited from the participants in the dialogue.

Such characteristics of spoken Spanish, however, are rarely reproduced in fictional dialogues, even of the most realistic order. The author is concerned with communicating the message and is therefore unlikely to reproduce linguistic behaviour of the sort destined to blur that message. In non-realist drama, part of the message is the lack of realism, reflecting a certain aesthetic or artistic distortion of reality which further impedes the use of fictional dialogue as a basis for linguistic research per se, which is not to say that linguistic techniques of discourse analysis are not appropriate to fictional drama. Such techniques are necessary to an understanding of the text, any text, be it fictional or otherwise.

Schmachtenberg (in Bobes 1987:79), however, reminds us of the fact that speech act theory, for instance, has developed its main hypotheses not on the empirical basis of a corpus of natural conversation, but of sentences constructed for the special purpose of illustrating pragmatic structures and specific speech act types of social interaction. He points out that, in the fictional situation of the dramatic scene, the participants act as if they were subject to the same pragmatic and semantic rule systems governing everyday

discourse. It is, nevertheless, doubtful whether such discourse can be regarded as a proper basis for hypothesis in the same way as normal speech. This has clear implications for the translator who has to address the question of whether the techniques of analysis of ordinary speech are valid for dramatic dialogue. An examination of typologies of dramatic discourse enables us to have a clearer perspective of the differences between this and ordinary speech.

Hess Lüttich (1985:17) summarises the various types of discourse, employing the following distinctions:

1. Number of participants (monologue, dialogue, polylogue);
2. Constellation of participants (dyadic, small group, large group, lecture meeting, mass media etc.);
3. Relationship of participants (symmetrical, asymmetrical; intimate, casual; formal; frozen, hostile etc.);
4. Social position of participants (social class, social dialect, power, age, sex, profession, social role, IQ, socialisation, family, value system etc.);
5. Medium (+direct/-direct; face-to-face; technically transmitted in one code (verbal acoustic) or several codes, (multi-medial communication);
6. Senses (acoustic, visual, olfactory, gustatory, tactile modalities of transmission);
7. Degree of formality (spontaneous, routinely, prepared, fixed etc.);
8. Scheme of action (argumentative, discursive, covert-strategic, narrative, ritual, rhetoric, phatic, metacommunicative-reflexive, meta-communicative-descriptive.);



9. Function of discourse (academic discussion, party talk, talk show, interview, classroom discussion, examination, trial etc.);
10. Orientation towards addressee (oriented towards hearer vs. towards audience; mutually communicative, informative, directive, persuasive, simulative, manipulative etc.);
11. Definition of time and space of participants (same time, same scene - face-to-face- same time, different scenes -phone calls; different time, bi-directional- letters- different time, unidirectional- literary communication.);
12. Modality (mundane, natural, spontaneous, arranged as if natural, standardised, fictional, fictitious, put-up on stage, formalised in a calculus.)

Whatever the form of dramatic dialogue employed in writing the play, the text in performance can change beyond recognition. It is hardly necessary to point out that meaning in spoken discourse relies heavily on stress and intonation, as well as on a variety of paralinguistic features and that the actor's art is to convey meaning in spoken language and to imbue the written code with whatever meaning a particular performance requires. Typologies of texts are, by definition, bound to be limited to the word on the page and unable to take into account the numerous interpretations possible in performance. Speech act theory has taught us the importance of meaning in context. It is not, therefore, an exaggeration to say that the typologies of dramatic discourse, based on the text alone, are potentially misleading.

### 2.3. Text and Performance

Individual interpretations of the dramatic text inevitably add a whole dimension to this, which will differ from performance to performance and from actor to actor. Equally, bodily movements, gestures and situation on the stage form part of the semiotics of the performance and bring the text to life. The employment of certain signs and the exclusion of others, as Aston and Savona point out (1991:106), constitutes an interpretation of the role. Different interpretations hierarchise different signs, foregrounding some aspects of the play in favour of others.

Kowzan's sign-system (1975:52-80) lists 'word'; 'tone'; 'mime'; 'gesture'; 'movement'; 'make-up' and 'costume' as systems, within which a variety of signs are employed to produce signification, such as 'abandonment'; 'femininity' and 'pleading'. These co-textual elements are part of the performance potential, which neither the writer, nor the translator can dictate. Yet the awareness of this fact must have implications for our reading of the text as we take into account the dramatic or performance possibilities which will inevitably have implications for meaning.

Kowzan stresses the non-hierarchical nature of the different sign systems. The written text is, in his opinion, one sign amongst many and should not be considered as the most

authoritative. Bassnett-McGuire (1985:7), commenting on the nature of theatre translation, points out that "the translator is effectively being asked to accomplish the impossible - to treat a written text that is part of a larger complex of sign systems, involving paralinguistic features, as if it were a literary text, created solely for the page, to be read off that page".

Bassnett-McGuire goes on to comment upon "the tyranny of the written text", citing the reverential attitude to the plays of Shakespeare as an example of such dominance. This notion of *dominance*, referred to, with regard to Shakespeare, as "Anglo-Saxon textual dominance", is a potentially misleading one. What is addressed, both by Kowzan and Bassnett-McGuire, is the need to analyse the written text closely in search of its potential. Kowzan's sign-systems, cited by Bassnett-McGuire, consisting of bodily movement, scenic effects, non-spoken sound and costume, represent ways in which the text is brought to life in performance. While the notion of the *sacredness* of the text is limiting to the performance potential, and no less limiting to the potential TT, there is an undeniable chronological precedence, which the translator, no less than the director is confronted with; the written text is our starting point.

Awareness of the many possible interpretations of the ST, a knowledge of the crucial importance of paralinguistic signs and the general semiotics of the *mise en scène*, are of vital importance to the translator, but, equally to be borne in mind is the realisation that these derive from the word on the page.

The real question is whether or not the translator's role should overlap with that of the director or stage manager. There is a clear need to convey the non-specific stage



directions occurring, in the case of *Pelo*, in the dialogue and forming an integral part of the dramatic action. In the final scene, for example, the Abbess and the Sacristan declare,

Haciendo camino estábamos por los sótanos del teatro. La vieja maquinaria se está pudriendo de no usarla. En estos tiempos la escena parece que se contenta con muy serias prolijidades y todo de boquillo.

Thus the author brings centre stage the theatricality of the entire performance, besides commenting on the state of the theatre in Spain.

In this and other incidents, in which the characters themselves make reference to their surroundings, the author is providing the 'covert' stage directions he considers appropriate and these directions are an integral part of the play. These are, of course, complemented by the overt stage directions, which, in the case of Nieva are lengthy, explicit and highly imaginative, as is to be expected from an author with a background in scenography.

The author, in giving such directions, is making explicit his demands on the semiotics of the stage and thereby minimising, *de facto*, the possible interpretations open to the scenographer and director. Paradoxically, in the case of Nieva, his foreword explicitly invites a variety of interpretations, stressing that the nature of the *reopera* lends itself to a pageant, involving music dance and freedom of movement and gesture.

This being the case, it is questionable whether the translator need do more than convey this dual message; on the one hand, inviting free interpretation and, on the other, giving explicit directions regarding the performance. The most important fact which emerges is that the translator should be aware of performance potential and

conscious of his or her role in enabling this to be realised. One way in which this awareness may be increased is, obviously, by seeing the text in performance.

A striking feature of the performance of *Nosferatu* at the Madrid Olympia theatre was the fact that the music and sound effects frequently drowned the dialogue, causing the audience to rely, on occasions, on the non-verbal sign systems, to the exclusion of the verbal. Nevertheless, the written text provided the basis for the non-verbal interpretation, whether this is *dominance* of a non-Anglo-Saxon variety is a moot point, but the fact remains that an interpretation is necessarily *of something*, in this case the written text, including the stage directions, which act as cotextual information enabling us to visualise the *mise en scène*.<sup>11</sup>

The possible areas of conflict between text and performance and the non-verbal elements which are vital to any stage performance and which can both enhance and distort the verbal message provide a challenge to the translator. Ortega y Gasset (1947:28) wrote, "el teatro, antes que un género literario, es un género visionario y espectacular", as, "la palabra tiene en el teatro una función constitutiva, pero muy determinada".

One of the questions Bobes raises in Semiología de la Obra Dramática is whether the text constitutes the dramatic production and whether the former is the exclusive property of the author. The case of *Pelo*, and of Nieva's work in general, is unusual in

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<sup>11</sup> A recent stage performance in Madrid of *Nosferatu* employed a vintage motor car, balanced on a mobile steel frame, and a cinema screen with footage of the Third Reich, amongst other props.

so far as the author explicitly invites, in the prologue to *Pelo*, a liberal interpretation of his work.<sup>12</sup> Within the same text, however, as has been pointed out earlier in this chapter, we find explicit and non-explicit stage directions, all of which enhance the dramatist's influence over the performance and extend it beyond the dramatic discourse.

Bobes (1987:34-45) comments on the fact that the dramatic text is written to be performed and written for an 'ideal' reader/spectator and ideal director, who in fact do not, or rarely, exist. The performance elements of the discourse are paramount in the *reopera*. Bobes points out that dramatic dialogue has certain characteristic features, as opposed to other types of literary dialogue, for example dramatic dialogue is always direct, whereas narrative is told through the narrator, although drama cannot be characterised solely by its use of dialogue nor of monologue. There exist dramatic works which contain no dialogue, e.g. various forms of mime and Beckett's *Act Without Words*. The presence of the spectator is one of the main characteristics of drama, as 'feedback' is immediate.

The idea that the performance begins with the text has obvious implications for the translator. If the author, when writing, has the spectator in mind and the notion of 'feedback' or audience response, the translator, in reconstructing the text, must be governed by similar awareness of the ultimate possibility of stage production.

The role of the director, however varied and imaginative his interpretation, must take as its starting point the text. The director responsible for the staging and the stage

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<sup>12</sup>v. Ch.I translation of Nieva's foreword to play in which he explicitly invites a variety of interpretations of the *reopera*.



designer responsible for the stage sets are primarily readers. It is perhaps important to note here the importance of co-textual material which supplements the translated text and is often the work of the translator: introductions, forewords, footnotes and any other added instructions and clarifications which play an important role in communicating the message.

An important point to be borne in mind, with regard to the *reopera*, is the fact that both what we refer to as *overt* and *covert* stage directions, i.e., those written as such and those which emerge in the utterances made by the characters themselves<sup>13</sup> form an integral part of the work, placing it quite clearly in Bassnett-McGuire's category of *texts-to-be-performed*.

The use of Goya's *Maja* in the procession leading up to the sacrifice of Ceferina to the dragon provides an example of the way the translator can take into account the non-verbal signs found in the text. Ceferina is referred to in the *dramatis personae* as a '*Maja Salida*'. *Maja* nowadays has a kind of 'folksy' connotation lacking at the time of Goya, or not associated with the painting, as a sort of 'cockney flower-seller' figure or low-life Madrid woman. The adjective *salida* has explicitly sexual connotations which places Ceferina in distinct contrast to the insipid nuns.

The word *Maja* is likely to be understood by the 'ideal' spectator reader and may be deemed to be an international term, such as *torreador*, although likely to be known

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<sup>13</sup> Ch.4 of this work contains an analysis of the dialogue and concludes that, in the closing stages of the play at least, the dramatist is clearly preoccupied with the performative aspects of the work. The analysis of the *covert* and *overt* stage instructions form the basis of this conclusion.

to a more restricted group of readers. The question of whether to attempt to find some, so-called, equivalent, fraught with dangers of farcical, cultural misrepresentation, or of leaving it in the original and emphasising in the stage directions the semiotic value of the Goya painting in portraying the character of Ceferina, is a problematic one. The writer clearly uses it as a sort of cultural joke, poking fun at the revered work of art. The decision to leave it in the original is based on the desire for consistency in transmitting the specifically Spanish cultural elements.

The simultaneous use of the sign and the word is discussed by Bobes. The deictic function in dramatic discourse is referred to by Bobes (1987:36) as 'deictic-performative', establishing a correlation between linguistic acts within a pragmatic context. She sees the deictic-dramatic semiotic which converts signs into icons as the characteristic feature of dramatic discourse. The non-verbal signs, being capable of simultaneous use, are therefore potentially more powerful than the linguistic sign in conveying meaning. The painting, therefore, is used to explicate the term *maja*, accompanied only by a footnote explaining the semiotic function of the stage prop.

Bobes (38) quotes Pirandello who defined drama as 'spoken action'. As dramatic action is preceded and created by the word, which has an illocutionary value and a perlocutionary value, all the influence exercised over other characters is exercised by means of words. The language referred to is therefore performative language implying actions carried out by the speaker and aims to bring about certain actions in the hearer. This view coincides with that of Bell (1991), Hatim and Mason (1990) and other theorists who employ Searle's Speech Act Theory in their approach to discourse analysis and translation. This approach to translation, which takes into account the performative

aspects of the speech act, provides an important bridge between the textual and performative aspects of the play.

The performance aspects of the text have not always been confined to stage productions. Hawthorne (1987:107) points out that poetry developed as a performance art, although, nowadays, the term is generally used to refer to drama, as opposed to poetry and the novel, which are normally read silently by the reader. What he finds of particular interest about performance art is the fact that it involves a *creative*, rather than a *passive* transmission of the author's message. The theatre audience, he claims, is less active than the reader and this raises the question of whether the reader is actually 'performing' the text mentally, much as the actor does on stage. In performance, interpretation and response are compartmentalised to a considerable extent, whereas in silent reading the two form part of a whole. Furthermore, he claims, private reading allows for greater possibilities of mutually exclusive possible interpretations than the dramatic production where certain decisions have been taken on behalf of the spectator.

In comparing the difference between the individual reader and the theatre audience, Hawthorne points out that, apart from the possibility of multiple interpretations, difficult in a single stage performance, another characteristic of the theatre audience is its collective response. The spectator has to experience the play at the pace of delivery of the actors. Hawthorne also points out that the text is the inevitable starting point of the performance and the director and actor alike have to read the play prior to performing it. This apparent statement of the obvious is, nevertheless, a reminder that, whatever interpretations may be given to a text, however many ways meaning may be conveyed



in the *mise en scène*, a close analysis of the written text must be the starting point for all involved, not least of whom is the translator.

Theatre semioticians have focused not only on the system of signs, but on the process of codification involved in these systems (Aston and Savona 1991:109). Distinctions have been made between *dramatic* codes and *theatrical* codes. Code is understood as 'an ensemble of correlational rules governing the formation of sign-relationships' (ibid 111). Theatrical codes relate to the correlational ensemble encoded in a particular performance, while dramatic codes apply to the conventions of drama, e.g. generic, structural, stylistic.

Having established the requirement to approach the dramatic text in a different way from other types of literary text, taking into account the performative potential of the text and maintaining an awareness of the semiotics of stage performance and the importance of paralinguistic elements in transmitting meaning, it is also useful to bear in mind at this stage the various possibilities which are open to the theatre translator, with regard to the tensions, previously referred to, between the performative and textual aspects of the work.

If, instead of focusing on the *dominance* of the written text, we approach the issue from the point of view of a division of labour between the writer, translator, director, scenographer and actor, we recognise the limitations of each of these and their mutual inter-dependency in the ultimate staging of the play. The translator in the chain of information is closest to the writer and bridges the information gap existing between him/her and other members of the chain. Nevertheless, both translator and author are

primarily concerned with the written text, which is not to say that they are exclusively concerned with this. The writer is clearly writing for an audience and the translator, as we have already pointed out, must take the performative possibilities of the play into account. Nor does the translator's proximity to the writer in the chain of tasks necessarily imply a target text bias, but rather a shared task which is text-based, but which has implications for performance.

The question of textual dominance, we would argue, is one which is of limited concern to the translator and is the domain of the director, scenographer and actor whose role it is *to perform* the written text. The translator, whose job it is to *interpret* and *reconstruct* the text, in the light of his or her aims in translating, must differentiate between a text aimed at performance and one which is to be read. Both translator and author are, rightly, limited in their influence over what is later made of the text in performance. The texts, both ST and TT are spring boards to performances, which are frequently unimaginable to their creators, however they may have attempted to influence these by stage directions and other sign systems.

#### 2.4. Deviation

The above heading provides a useful way of examining discourse in a literary context, as it is a characteristic of 'literary' discourse to employ techniques, such as foregrounding, defeated expectancy and other forms of deviation which distinguish it from other types of text. Nieva's use of deviation and foregrounding is an interesting feature of his work and the type of deviation used is varied. It includes the apparently nonsensical use of deviation, i.e. where it is not used for standard 'poetic' reasons, but forms part of the surrealistic elements in the play.

We cite Leech (1969) for a definition of deviation:

Primary deviation takes two forms:

- a) Where the language allows a choice, the poet goes outside the normally occurring range of choice; and
- b) Where the language allows a choice, the poet denies himself the freedom to choose, using the same item in successive positions. (1969:12)



According to Leech, secondary deviation is deviation not from the norms of linguistic expression in general, but from the norms of literary composition, of the 'poetic canon', including norms of author or genre. This can also be called 'conventional deviation' or 'defeated expectancy', such as metrical deviation and enjambement. Tertiary deviation is deviation from the internal norms of the text and is also termed 'internal deviation'. (Leech 1969:75-76)

The Russian formalists attempted to differentiate poetic language from other varieties, endeavouring to explain the mechanisms used by the poet to create 'poetic' language. One of the poetic functions, differentiated from other language functions, which characterises poetic language, according to Barajón (1988:89), is its 'complex multi-valued semantic plane' which produces what he calls 'maximum foregrounding'.

The notion of the 'complex multi-valued semantic plane' is relevant to Nieva's writing and is commented upon, with reference to his creation of neologisms, by the author in the prologue to La Trilogía Italiana:

No hay para mí gran diferencia entre un científico que se ve precisado a nombrar por primera vez un hecho, una materia o un concepto que antes se habían presentado a su percepción, y un individuo que precisa nombrar a los garbanzos con mayor saturación expresiva que la simple palabra 'garbanzo'. (1988:3)

The author sees no difference between his own use of neologisms and the scientist's \*naming of an article for the first time. The unusual form of adjectivisation, the formation of neologisms by forming verbs from adjectives, adjectives from nouns etc., the lengthening of phrases by the addition of irrelevant information and the violation of

form and register are some of the foregrounding techniques which differentiate Nieva's language from 'normal' speech and which are commented upon in chapter 4 of this work. Barajón (77) points to intertextual influences from Quevedo and Gracián to explain the length of utterances in Nieva's dialogues and also discusses the baroque and romantic influences in the lyrical use of words which characterises his writing. Nevertheless, deviance in Nieva's work goes beyond the normal boundaries of poetic usage and, as is shown in the following chapter, is attributable mainly to his own artistic aesthetics.

## 2.5. Cultural Context.

The translator is, in a sense, preparing the director and the actor for the reading, enabling the event to take place. Inevitably, therefore, the theatre translator has in mind the special nature the receptor of the message to be communicated. The 'ideal reader' of a translated work of literature would already be familiar with the context of the text; the cultural, social, temporal and linguistic contexts. Unlike the author, who may if he/she wishes write for an ideal reader, (Margaret Atwood commented at the Edinburgh Festival, in 1976, that her early texts had been written for an imaginary masculine figure of authority), the translator must not make any such assumptions. That is not to say that the translator has, necessarily, to 'simplify' the text in any way, but

rather make the original accessible to a reader potentially ignorant of the cultural context in which it is situated.

Kirkov (1993:227-231) writing on the appraisal of belle-lettres in translation, its adoption and functioning in a new literary and social world, names as an important criterion the extent to which the work translated from the foreign language becomes inbuilt in the recipient culture, what aesthetic and social needs it will meet, and whether it can stimulate the national literary processes. He maintains that the role of a given work cannot be the same in a different cultural milieu, whether or not there is a shared language.

Toury's (1980:43) use of the term *adequate* translation, with reference to the inherent systemic differences between the source language literary norms and those of the target language, denotes an approach to translation which emphasises the importance of the conformity of the TT to the culture and other polysystems of the target text. Toury<sup>14</sup> comments that, "translation, especially literary translation, always involves an encounter, if not a confrontation, between two sets of norms." Norms are, of course, linguistic, but they also necessarily encompass the cultural milieu, or what Aaltonen (1993) refers to as the *otherness* of the translated text. According to Aaltonen, variation in the translation strategies for rewriting the sociocultural settings depends on both the sociocultural domain and the function of individual concepts in the structure of the play. The decision regarding the *naturalisation* of the text or the retention of the *foreignness*

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<sup>14</sup>For a more detailed account of Toury's approach to translation v. ch I of this work.



is, apparently, one which requires the translator to decide between bias towards the source or the target language text.

Yet conformity to the norms of the target language literary polysystem, we would argue, does not necessarily imply the need to naturalise the socio-cultural elements, given the centuries-old tradition of maintaining the socio-cultural setting of the original. In the case of *Pelo*, the decision to maintain the elements of Spanish culture in the play is a deliberate one, partly influenced by the knowledge that the target reader of the translated work is likely to be interested in Hispanic studies, given the strong British University tradition in this field, and also because of the belief that *naturalisation* implies an unnecessary loss to the target literary system of potentially enriching aspects of another, lesser known, European culture.

The choice of a text for translation, according to Kirkov, involves considering the extent to which the text relates to the potential reader's social and psychological patterns and cultural background. If, however, texts were restricted according to such criteria of compatibility, the possibility of offering new visions would be limited. Although he stresses the value of translated works in disseminating new ideas and widening cultural horizons, Kirkov (1993:228) points out that the recipient culture can also gain in self-knowledge from the translated work. In other words, the norms of the target literary system can change as a result of the translation.

Kirkov (1993:231) argues that as the outstanding work can go unnoticed in a plethora of published works of lesser status, the criteria for the choice of literary work for translation should also play the role of "ideological-artistic filters" which would

"enhance the effectiveness of the accepted works". This is a potentially alarming notion, somewhat akin to censorship, given the total subjectivity of the choice. Were we to translate, for example, only the most easily comprehensible texts, from a cultural point of view, our knowledge of world literature would be greatly impoverished and with it our awareness of cultural differences.

The question of 'how', Kirkov argues, with all its implications for complex stylistic problems, is inextricably linked to 'what', where the linguistic problems inevitably turn into aesthetic and ideological ones. On the subject of criteria for the quality of translation, where the uniqueness of the text make a new set of criteria necessary in every case, the criteria are necessarily subjective ones, such as those he cites of taste and personal feelings. On the other hand there exist valid arguments for strict appraisal of all the work's cultural-linguistic parameters based on the fact that language phenomena are of a sign-structured nature.

Who, given the subjective nature of the decision, is to decide which aesthetic and social needs might be met by the translation of one work rather than another? A rather obvious criterion for selecting a work for translation into a foreign language, and one which has served us well for centuries, is the status of the work in the source culture. Literary prizes may not always assure the quality of a work, but in the absence of other more valid criteria, literary acclaim is the most usual of criterion for selection. Nieva, for example, has been awarded the Principe de Asturia's prize, bringing with it considerable acclaim, although his reputation at that point was already established.

Stillman (1991:168-176), comments on the enriching effect on English literature produced by the translation of continental literature, "sixteenth century translators appropriated the linguistic resources of other nations for the expansion of their own humanist labour in the service of an aggrandising cultural imperium". This serves to remind us of the danger of undue conformity to the norms of the target literary culture and the potential loss this may involve for the target-text culture.

Clearly, the decision regarding *naturalisation* or otherwise of the literary text is one which has been much debated and is influenced by the degree of awareness within the target culture of the source language culture. Aaltonen (1993:28) points out that the influence of British and American culture on Finnish culture is such that *naturalisation* is frequently unnecessary to an understanding of these elements.

Tundona Amosu (1988:141-151) writing on the translation of works by Soyinka, comments on the difficulty of translating arctic cold to a man from the tropics, pointing out that the sociological factors which condition such a sensation are often not transferable and attempts to translate them encounter the problem of expression deriving from cultural context. The frequently-used illustration of this is the number of words used by eskimos to describe varieties of snow. Clearly, in Spain, for example such lexical items would be redundant in most parts of the Peninsula.

The *translatability* or otherwise of such items is a moot point. Catford (1965:10) distinguishes two types of translatability, which he terms linguistic and cultural, the former referring to the absence of a similar term in the TT and the latter due to the absence in the TL culture of a relevant situational feature for the target text. It appears



difficult to justify this distinction, as the absence of a lexical item invariably denotes the absence of a corresponding cultural event or phenomenon in the target language. Clearly the translation will suffer loss, to the extent that the concept may be difficult to understand, in the absence of similar cultural experiences, and the meaning understood will depend on the cultural knowledge of the reader. The job of the translator, in such circumstances, is to enhance the reader's cultural understanding by explicating the text.

Obviously, the more we care about something, the more important it is in our culture, the more words we have in our lexicon to deal with this phenomenon. Amosu, in the same article, points out that attempts to convey African reality in a European language come up against lexical difficulties in attempting to encode this reality in such a way as to be meaningful to the other TL culture.

Difficulties, of course, exist within the same language family, where the cultures vary greatly and where there have been relatively few cultural links. Spain's political isolation for most of this century, coupled with Britain's traditional insularity, creates a situation in which there has been relatively little cultural exchange. The exaggerated stereotyping in *Pelo* may even add to cultural misunderstanding as there is a danger of the more farcical elements of characterisation being taken too literally.

Where Nieva exaggerates for humorous or satirical effect, a British audience may be in danger of misinterpreting these elements. Similarly, the intertextual elements which relate to a Spanish literary tradition are less likely to be captured than those relating to other European traditions, such as the Absurd or the Surreal. Another cultural difference is in the use of vulgar language. Nieva's mastery of all sociolects and

dialects of Spanish is such that he has at his disposal a rich variety of earthy, vulgar language which is nevertheless socially acceptable. To obtain equal strength of impact in English it is sometimes necessary to employ expressions which are socially offensive.

Amosu (1988:143) discusses how writers, such as Chinua Achebe, when writing about 'obi', the chamber of the polygamous husband in the traditional Ibo society, chose to describe the concept prior to using it in his work, thus removing the problem of translating an unknown concept. Nevertheless, the majority of writers do not do this, as the general context, both cultural and linguistic, frequently allows us to glean the meaning, without prior description. Amosu makes the point that the African writer, writing in a European language, is acting as a translator. Nevertheless, misunderstandings tend to arise when translations are made from one European language to another. The translator in question, translating into French from English, was unaware of the cultural context. The particular problem referred to by Amosu is that of the familiar form of address *tu*, used in the French version, which he claims would have been unlikely even between an elderly couple who have been married for years. The familiar form of address used by a woman in traditional African society would have been unthinkable.

Whereas cultural barriers to understanding are clearly lessened within language families and similar cultures, the African example serves to remind us of the many possible cultural misunderstandings which can arise. The problem of the translator's own familiarity with the culture of the source language can present difficulties of appreciation of the lack of cultural awareness of the target language readers. A case in point arises in the translation of *Pelo*, where an insulting reference to the Alguacil's

mother is employed (Nieva 1991:173). The expression used is *más decente que tu madre*, which is both impertinent and very amusing in Spanish, but lack any particular relevance in English. In order to verify the effect this reference would have on an English audience, it was necessary to check the effect of a literal translation on native speakers of English with no knowledge of Spanish. As predicted the reference, when conveyed in the TT, was not considered particularly humorous. Immersion in a particular culture is, of course, valuable, but carries with it the danger of minimising the awareness of the effect of an image in the TL when a much-used structure in the former is translated to the latter. It would seem likely that much ill-advised literal translation is based on this assumption of cultural equivalence deriving perhaps from the translator's 'over-familiarity' with the source language.

The fact that the worst of translations are based on a search for non-existent 'equivalents' has implications for the translation of cultural elements. The search for formal equivalence is a puzzling one, if complete synonymy rarely exists in the same language, why should we constantly attempt to find ready-made equivalents in another. The search for one-to-one formal 'equivalence' is also ill-advised as it tends to concentrate on the single lexical item and therefore bypasses all that we have considered regarding cultural and linguistic context. In order to convey the true meaning we rely not merely on the translation of linguistic items but also on the translation of cultural concepts.

Newmark (1981) talks of two extremes in the translation of culture; transference, offering 'local colour and atmosphere' and componential analysis, which offers greater accuracy and precision in adding the extra-contextual components, but which is



pragmatically difficult. Quite how, without adding the *extra-textual components*, we are to recreate the local colour and atmosphere is difficult to know. Precisely, this decision to maintain, as far as possible, the cultural elements of the ST is what makes it necessary to analyse these and understand them in order to reproduce them.

The problems of cultural equivalence arising in the play *Pelo* are diffuse and not restricted to word and sentence level. On the one hand, there arises the problem of transmitting the 'bonafide' cultural context within a non-realist drama, where disbelief is not suspended. On the other hand, confusion may arise in the mind of the TL reader causing certain bizarre events in the play to be attributed to 'culture' as opposed to 'aesthetics'. The following represent possible areas of cultural misunderstanding in *Pelo*:

Elements of a literary culture which are specifically Spanish, eg. references, both oblique and direct, to the picaresque. Frequently these cultural referents are not made verbally but emerge in the plot, characterisation and dramatic action. Others are hinted at in the use of language, as in the vulgar speech of *the popular*.

Social, or perhaps socio-historical, elements which require a knowledge of the repressive cultural and political background in which the play was written. The whole symbolic structure of the play is based on certain assumed knowledge of the sexual repression caused by an oppressive political regime and a repressive religious climate.

There are, of course, culturally specific linguistic items which require a deeper understanding than the surface language would provide. This is particularly noticeable in the elements of the *popular*, already referred to above for their literary associations.

There is little division in Spanish between specifically 'street' language and a usage which might be described as 'earthy', but which is commonly used and lacks vulgarity. There also exist cultural references, such as those to the mother, mentioned previously, whose significance is not readily transmitted.

In confronting these problems, the translator has to be guided by theoretical principles, which allow informed choices to be made regarding the reason for translating and which involve a balance between degrees of *acceptability* and *adequacy*, as defined below. Nevertheless, once this decision is taken and a bias established in favour of TT or ST norms, the problem of actually dealing with what Toury describes as 'translational relations' remains. The decision regarding *the initial norm* is the first step in a process which requires us to analyse the discourse, examine speech acts in their context and search for intertextual elements before we even begin to translate. The question of *cultural equivalence* is, of course, indistinguishable from the general question of equivalence discussed in the previous chapter. However, the definition offered by Jakobson of equivalence is of interest with regard to the translation of the theatrical sign system, discussed in 2.2 and also to the translation of cultural elements.

Roman Jakobson (1959) distinguishes three types of translation, outlined in chapter 1 of this work, amongst which is "Intersemiotic translation or 'transmutation' (an interpretation of verbal signs by means of signs of nonverbal sign systems)". (232-9)

Of interest to the theatre translator, is this notion of intersemiotic translation, with its relevance to the semiotic nature of the dramatic performance. He points out that there

is normally no full equivalence through translation and that only 'creative transposition' is possible, either *intra* or *interlingually*.

This view of translation from one language to another as part of a continuum, including intralingual translation, highlights the fact that within the same language there exist barriers to understanding of a cultural and linguistic variety which require explication. Perhaps, then, the cultural differences arising between different languages are merely a question of degree. European languages, belonging to a broadly similar cultural heritage, should therefore present less difficulty in this respect than those belonging to different language families where minimum cultural contact has been maintained, as pointed out earlier in this chapter by Amosu.

Bassnett-Mcguire (1992:19) takes idioms as examples of 'culture bound' utterances: the Italian idiom *menare il can per l'aia*, literally, 'to lead the dog round the threshing floor' is translated into English as 'to beat about the bush'. She points out here that substitution is not made on the basis of linguistic elements, but on the function it has in a particular text. Similarly the Spanish *tomar el pelo*, literally 'to pull hair', can be substituted for to leg-pull.

Contrastive studies of languages which documented their common systems would no doubt reveal that cultures meet at different points throughout history to later diverge and that, at their point of convergence, they leave a common inheritance in their respective linguistic and cultural traditions.



Bassnett-Mcguire (1992:23) makes an interesting point concerning the 'shock value' of Spanish and Italian blasphemous expressions being rendered pragmatically into English by substituting expression whose sexual overtones have an equally shocking effect in English.

Neubert and Shreve (1992:69-117) support the notion of translation equivalence as a semiotic category, comprising a syntactic, semantic and pragmatic component, arranged in hierarchical relationships, where semantic equivalence takes priority over syntactic equivalence, and the pragmatic equivalence conditions and modifies both other elements. An important part of this *pragmatic equivalence*, we would argue, is the cultural context of the work which we have discussed herein.

The above approaches to the notion of cultural equivalence, which is axiomatic to every approach to and theory of translation, encourage us to adopt a discourse analysis approach in our own analysis. The following section, however, considers an alternative approach to this notion, based on a systematic study of the linguistic systems and sub-systems of languages in an empirical, contrastive endeavour to categorise these.

## 2.6. A target-text approach to literary translation

The object of the target-text oriented approach to literary translation is to attempt to supply a theoretical framework for a descriptive study of translated texts, with emphasis placed on the study of corpora of texts in their environment. Such approaches concentrate on the polysystems and the systems and subsystems comprising these, examining various literary and non-literary genres and subgenres. This approach is based on a hypothesis put forward in 1970 by James S. Holmes.

Holmes (1980) attempted to divide the domain of Translation Studies into main branches and sub-branches, observing that the discipline was an empirical one constituting a 'field of pure research'. His major distinction corresponded to the division between descriptive and theoretical translation studies, i.e. between the study of actual phenomena, existing translations and their contents and the formulation of more general norms and principles. He later added a third branch, Applied Translation Studies.

Holmes's notion that the study of the existing corpora of translated texts was a valid field of pure research has led to developments in the field of Descriptive Translation Studies. Later work by Toury (1980) and Even Zohar (1980) concentrated on the target-text within the literary system of the TL.

This work examines such concepts as the criteria employed in order for the translation to be regarded as a literary text in its own right within the target literary polysystem, regardless of its relation to the source language. These theorists claim that theories placing too great an emphasis on the source-language text tend to be 'directive' and 'normative' in nature as they see translation as being a 'reconstruction' (i.e. the formalisation of the ST's systemic relations). They maintain that such theories are primarily concerned with 'potential' translation or 'translatability', rather than with actual translation and, therefore, with the act or 'process' of translation, rather than as instances of 'performance' or 'text-linguistic products', belonging to the system of texts written in the TL.

An examination of the theoretical definition of the term 'equivalence' is, as ever, axiomatic to an understanding of these attempts to formulate a theory of translation. As Toury points out:

To be sure, the specification given to this notion (equivalence) is the crux of every theory of translation and, more than anything else, it bears witness to its real scope and objects, possibilities and limitations and dictates its methods. (1980:116)

Toury takes as his starting point a modified version of Catford's definition (1965:45) "Translation equivalence occurs when a SL and a TL text (or item) are relatable to (at least some of) the same relevant features". (1980:115) The relevance of features or 'shared features' then is crucial to this approach. Toury's main addition to Catford's definition is the use of 'relevance' which, he points out, is a relative property in at least two respects:



- i) It is to be regarded as an abbreviation for 'relevant' 'for' something", or 'relevant' 'from' a certain point of view
- ii) Since a text comprises various "features" on various levels (sounds, letters, syllables, morphemes, morpheme meanings, words, word meanings, compounds, meanings of compounds, syntactic patterns, sentences, sentence meanings, textual segments, and principles of segmentation etc.) all of which are - or may be - relevant 'for' the totality of the text, the opposition relevant-irrelevant should be conceived of as polar, rather than binary and we should speak of 'hierarchies of relevance', rather than absolute relevance. (1980:30)

In the following paragraph, the author speaks of 'shared features' as opposed to 'mere textual and linguistic features', without allowing us to share his knowledge of these 'shared features', which is again somewhat confusing. The following reference to the fact that 'both of them' (one assumes with reference to the 'mere linguistic and textual features') may be considered from two points of view, those of the ST and those of the TT, which do not necessarily coincide, is somewhat misleading.

An establishment of 'a dynamic hierarchy of relevance', whereby the highest position is occupied by the most relevant feature of the ST, has implications for the reconstruction of the ST's systemic relationships, either in the SL itself or in another language. Thus, from the ST's point of view:

Translation equivalence, i.e., "the similar relevant features" which in both ST and TT are "relatable to" are determined by and proportionate to their degree of relevance for ST. In its ideal form this relationship means the reconstruction of all the features relevant to ST, or at least the most important ones, according to ST's hierarchy of relevance; which means the interchangeability (or near interchangeability) of ST and TT. (1980:32)

What is referred to as the 'interchangeability requirement' is modified, according to the proponents of this approach, by the inherent systemic differences between languages.

Questions have been raised concerning the degree of equivalence required for a text to be considered a translation, given the generally accepted view that total equivalence is 'a chimera' (Bell 91:27). Toury (1980) maintains that a translation is that utterance or text regarded as a translation by a given cultural community, i.e., which was accepted as and functioned as a translation in a given sociocultural system. Equivalence then is the 'translational relation' which exists between two texts by virtue of the observed fact of it being accepted as such.

The weakness of this argument lies in the lack of recognition of the source text as the intellectual property of a particular writer and the bond of faith between the author and the translator. That the TT should be considered as an original work in its own right, albeit based on or derived from a previously existing text in the SL involves no ethical breach of trust. To say, however, that the mere fact of being 'accepted' as a translation validates it as such is to avoid the many problems of 'equivalence' faced by the translator of a literary text as, although 'fidelity' need not necessarily be represented formally, the word 'translation', as generally used, implies a relationship inevitably dictated by the original text based on the desire to make this available in another language and implying a certain relationship of trust between the author of the original and the translator to whom he/she entrusts his/her intellectual property.

Nevertheless, the notion of translation activities as part of a socio-cultural system and the search for norms within the sub-systems or 'polysystems' is a useful one from the point of view of the 'acceptability' of that TT within a particular socio-cultural environment. Literary conventions clearly exist and are not always universal. It is therefore necessary when embarking on a translation to bear in mind the literary conventions and norms which would govern the TT's acceptability as a literary text.

The play *Pelo* is notable for its violation of linguistic norms within Spanish and in order to achieve coherence in the TT, given our decision to attempt to convey the author's *intentionality*, a similar violation of norms is necessary, which does not, of course, invalidate the notion that norms exists and must be recognised if one wishes to deviate from them.

Bartsch (1987:176) distinguishes between two aspects of norms; normative force and *norm content*. Norm content is the socially acceptable notion of what is correct and normative force is there to guide behaviour in conformity with that notion of correctness. Theo Hermans (1985:141) takes this a stage further by relating it to translation: "Translation norms are the social reality of concepts of translational correctness; this social reality secures the co-ordination concerning form and use of translational means in a socio-cultural community."

The usefulness or otherwise of this focus on norms in translation lies in the production of a target text which accords with a given model and thus with a certain notion of



correctness. Given the literary text's reliance on deviation in various forms, the possibility of developing a typology of deviational norms is as yet remote. Nevertheless, the emphasis given to the TT is in itself useful and detracts from the danger of reproducing slavishly those linguistic norms which pertain to the ST and have no validity in the TT, with its differing values and attitudes.

Given the belief that there is no such thing as 'private language' and that translation is a communicative act, the application of norms to decision-making in translation is an everyday occurrence. Models exist in any goal-oriented activity. The use of models, according to Toury (1980), provides the incentive for the adoption of particular norms which act as 'a kind of grid' determining the way 'foreign material' is to be integrated into the recipient culture:

Norms reduce the complexity and thus domesticate the 'otherness' of the exogenous text, whether to a large or only a very small degree (i.e. in 'naturalising' and 'exoticising' translations respectively), in relation to the expectations concerning acceptability of this particular type of material to the target audience. (1980:27)

There appear to be inherent dangers in this approach in so far as the relaying of the culture of the target text is concerned. Those of us who have relied on translations of Tolstoy, for example, for our knowledge of nineteenth century Russian culture might have missed out had the 'otherness' of the foreign material been 'domesticated' to too great an extent.

Hermans (1985:12) claims that "the act of translating is a matter of adjusting and manipulating a Source Text so as to bring the Target Text in line with a particular model and hence a particular correctness notion and, in so doing, secure social acceptance, even acclaim". In so far as it goes, this statement is broadly unimpeachable as a text, in whatever language must, to be comprehensible, conform to the linguistic and socio-cultural norms of the target society. Nevertheless, in side-stepping the notion of equivalence it fails to address the ethical problem of 'faithfulness', with regard to intellectual property, which is in no way synonymous with what has traditionally been referred to as 'faithfulness' with regard to the translation of form.

It is true, however, to say that neither TT nor ST exist in isolation and it is obviously necessary to understand the linguistic norms prevalent in any particular genre or text type before attempting translation. The intertextual elements in Nieva's work form a network of meaning throughout his plays and derive from historical influences as well as contemporary ones from a variety of cultures. According to Hermans (1985), the interactive complexity between a variety of systems gives rise to a variety of norms and norm conflicts acted out as part of a changing historical series.

Translation-source comparison involves the recognition that in any translation there must *de-facto* exist some type of *equivalence*. The question then arises as to the type and degree of equivalence shown between two particular texts. Toury (1980) points out that the comparative study of texts in the case of translated texts involves a comparison between texts of different ontological status; the ST and the TT. The ST's status with regard to the

TT is primary, both chronologically and logically. He deduces from this that the *tertium comparationis* in a comparison of this type must be ST based. A linguistic text being a final, closed sequence of linguistic units with some secondary organisation imposed on it by the requirements of a literary system, structured on the basis of two codes; a primary linguistic one and a secondary one which is textual or literary.

The term *initial norm* is used by Toury to refer to the translator's choice between adhering to the norms of the ST or those of the TT. Clearly, this polarisation is a methodological construct and the reality would be somewhere between the two as the series of choices open to the translator requires a constant compromise between what Toury terms *adequacy* (adherence to ST norms) and *acceptability* (adherence to TT norms). The *adequate translation* is therefore deemed to be the *maximum equivalence requirement* and should therefore serve as the invariant in a comparison of ST and TT proceeding from a theory of literary translation. The object of such a comparison would be to "establish the distance between the actual equivalence obtaining between the TT and ST and the maximal norm of adequate translation". The historical study of translations enables us to see shifts in variants showing a greater or lesser degree of adequacy and acceptability as the societal notions of what constitutes a 'proper' translation varies throughout different periods of history.

Toury's proposed method for the comparison of one TT with its ST comprises three stages:



- i. A textemic analysis of the ST, leading to the formulation of AT and to the identification of ST textemes.
- ii. Comparing TT units corresponding to these ST textemes and noting their shifts and deviations from the latter.
- iii. Making a generalisation about the distance between TT and ST equivalence.

In many respects this approach differs little, despite protestations to the contrary made by its exponents, to the discourse analysis/pragmatic approach put forward by Bell, Hatim and Mason, in so far as its practical application to translating is concerned.

### Concluding remarks

The analysis of the text and the search for translational relations which this presupposes and which lead inevitably to evaluation of the distance between TT and ST equivalence is precisely what takes place when one applies procedures put forward by Bell, Neubert and Shreve concerning textuality. In following Bell's system of macrofunctions, which involves a pragmatic analysis of the text, one is inevitably searching for translational relations between ST and TT. The emphasis placed on the categorisation of linguistic and other norms in the TT by the contrastive linguists is complementary to all the other activities previously outlined and, as yet, fails to substitute them. This is particularly evident from our analysis of the play *Pelo*, where the very lack of adherence to norms of any sort is the most outstanding characteristic of the work. We adopt, therefore, in our own analysis of the play *Pelo*, an eclectic approach, combining our awareness of the norms of dramatic discourse and of theatrical semiotics as a whole, with a pragmatic approach to discourse analysis based on systemic grammar as outlined in the previous chapter.

### Chapter 3

#### Francisco Nieva: a background to his work.

##### 3.1. Introduction

If, as we would maintain in relation to the translation of the play Pelò de Tormenta by Francisco Nieva, literary translation requires an understanding of the literary traditions, cultural background and life of the author, the era of the dictatorship and the period of self-imposed exile which the author lived through is necessarily reflected in his work. One of the respects in which literary translation differs from technical translation is in the need to understand the artistic aesthetic of the author and to establish what Snell Hornby (1988:10) refers to as the author's 'situational relationship to reality'. The following chapter aims to summarise the formative influences at play in the author's work, an exercise which we

consider a prerequisite for the translation of a work of art. Frequently, in technical translation, the translator needs to become familiar with the specialist terminology of the subject matter. Such was the case with target text 2, discussed in chapter 5 of this work. We would argue that the literary text makes even greater demands on the translator, with regard to background knowledge of the work, and we aim here, and in the following chapter, to demonstrate the relevance of this background knowledge to an understanding of the text.

### 3.2. The Playwright's life and early influences.

Francisco Morales Nieva was born in 1927 into a family of liberals, connected with the Republican government. His own recollections of the Civil War, which he experienced as a child in Valdepeñas, contain an account of an event which moved him greatly:

Recuerdo que en el pueblo había un pintor de domingo, un pintor naïf que se fue a luchar al Batallón Torres con su hijo de siete años. Era viudo y no tenía más que aquel hijo. Los mataron a los dos. Son impresiones muy fuertes. Yo me acordaba de todo aquello cuando entraban los nacionales en el pueblo y lloré. ¿Por qué? Yo era un niño y no tenía una idea muy clara de quién llevaba razón y quién no la tenía y, sin embargo, sentía una enorme sensación de derrota dentro de mi mismo (Nieva 1980:23).

The traumatic events he experienced as a sensitive child during the war left their scar and his feelings of failure and of loss followed him to Madrid. "Huía y arrastraba detrás de mí la angustia que aquel ambiente me producía. Por eso me refugié en la gran evasión, en el sueño surrealista, que en fondo era una forma también de asumir aquella horrible pesadilla" (Nieva 1980:23).



The need to escape from a horrible nightmare, the need also to come to terms with it, it would appear, provided the impetus for the escape into a surrealist dream. The rejection of realist drama and the need to replace reality with dreams, dreams which in themselves challenge the prevailing reality, provided the basis for his plays or the 'dark passion', mentioned later in this work, which drove him to write. His work rebels against an unacceptable reality "Acaso lo que llamamos evasión no sea otra cosa que la rebelión, la búsqueda desesperada de una salvación" (Nieva 1980: 153, 24).

This sense of rebellion and refusal to accept reality are reflected in both the dramatic form of his plays and in the linguistic non-conformity of his work. According to Coterillo (Nieva:1975:23) <sup>15</sup>, Nieva found refuge in an artistic movement called *El Postismo* which was connected to the Italian Futurism of Marinetti, and he became familiar with the works of Kandinski, Dada, Duchamps during this period.

Nieva's plays are born of a reaction to the traditional Spain, the *España negra, la España profunda*, from which he went into voluntary exile in 1953, having been awarded a fellowship in Fine Arts from the French Institute. In Paris he came to form part of the bohemian, artistic circles of the city, meeting well-known artists, such as Jean Arp and Constantin Brancusi. He achieved some success as an artist, but his interest in the theatre

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<sup>15</sup> Nieva, F. *Teatro Furioso*, 1975 Ed. Moises Perez Coterillo, Akal/Ayuso Editores: Madrid. This will hereafter be referred to as 'Teatro Furioso'.

was encouraged by Collette Allendy, a friend of the late Antonin Artaud, who introduced him to the latter's theories and thoughts. The playwright came under the influence of Artaud at a time when he was writing his Teatro Furioso "bajo la influencia del mundo Artaudiano, pero con no menor influencia de algunos clásicos españoles: Rojas, el Arcipreste de Talavera..." (Nieva:1980:8).

He also became acquainted with Ionesco, Becket and Adomov around this period and was in Paris during Brecht's first visit to the city. What most interested him in Brecht was:

El punto de vista de la escenografía, porque traía una serie de remedios de urgencia al teatro a la italiana y más que nada porque su teatro rompía la relación sociedad-lugar-literatura con un teatro hecho para un público en general, no para las primeras filas de butaca, como hace el teatro burgués (Coterillo 1976:13).

Nieva's fascination with scenery, and the importance of scenic effects in his own work, provide a link between his early work as an artist and his work for the theatre. The importance of visual impact and the elements of pageantry in the plays form part of the non-linguistic elements which are largely unavailable to the translator, who must rely on a knowledge of Nieva's ideas on scenography and the stage directions available.

Nieva learnt from Brecht the importance of theatrical space and the fact that bourgeois theatre, directed at the front rows of the traditional theatre, had to be abandoned in favour of a form of theatre available to a wider audience. He was also influenced by Genet whose work, he claimed, became for him 'un teatro de la tentación esencial, el "extasis supremo"...'(Nieva 1975:73). At this point he wrote the first outline of *Pelo*.

For a while, Nieva worked for a bulletin published by the Centre National de la Recherche Scientifique. The idea for Es Bueno no tener cabeza comes from one of these articles:

En un artículo de etnología descubrí una leyenda --creo que chilena--sobre las cabezas volantes que, de noche, se desprendían de los cuerpos y ambulaban por los aires y se adherían a otros cuerpos de personas o de animales. La idea inicial de Es Bueno no Tener Cabeza (Nieva 1977:10).<sup>16</sup>

Although Nieva returned periodically to Madrid, he did not find the atmosphere prevailing there to his taste:

Venir a España hace ocho o diez años con la cabeza llena de Wilde-Bataille-Jarry-Artaud-Genet era venir pidiendo un puesto en la prisión de Carabanchel, y no en la sección de ciencias políticas, sino en la de ciencias perversas (Nieva 1973:21).<sup>17</sup>

Moreover, his isolation was not due exclusively to the politically and socially repressive atmosphere of the period, but also to the fact he was not easily identifiable with any particular movement of the time:

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<sup>16</sup> The article referred to dates from the period Nieva spent working as a translator in Paris.

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Carabanchel prison in Madrid was notorious for housing political prisoners.



El carácter insólito de sus textos, su desvinculación de los movimientos aceptados y de los autores cotizables le mantienen recluido en la intimidad de sus sueños hasta que el redescubrimiento de Artaud por el 'Living Theatre', 'La Mamma' o el 'Bread an Puppet' le confirman en la validez de su teatro y le impulsan a retomar textos guardados y purgarlos de residuos contemporizadores con el teatro considerado 'representable' (Nieva 1975:12).

Nieva first made a name for himself in Spanish theatre as a scene designer in the *Teatro Nacional*. Given the impossibility at the time of producing his own plays in Spain, he found in his set designs for Spanish classical theatre, and even operas and ballets, an outlet for his artistic talent which was to have a marked effect on his own plays. During his stay in Berlin, designing a set for Prokofiev's *Cinderella*, he revised some of his earlier plays, including Pelo de Tormenta.

Throughout the early 70's two university productions of Es Bueno no Tener Cabeza (Madrid 1971 and Paris 1972) represented the only performances of his work. Despite the difficulty of interesting commercial producers in his work, Nieva continued to write; La Señora Tártara, La Carroza de Plomo Candente, Coronado y el Toro, El Paño de injurias, El Baile de los Ardientes and Los Españoles Bajo Tierra were all written between 1970 and 1975. In the post-Franco era, as censorship was lifted, Nieva's work began to be produced and a play based on Larra's No Más Mostrador, entitled Sombra y Quimera de Larra, was performed in Madrid. In the same year (1975), El Combate de Ópalas y Tasia was produced to great critical acclaim and public interest.

### 3.3. Intertextuality in Nieva's work.

Nieva has been described as the most European of Spanish playwrights, an assertion which is undeniably true and hardly surprising in view of the years of voluntary exile from the Franco regime and the author's exposure to European influences during this period. However, in his use of language he reveals his Spanish roots. The colourful, baroque and frequently surrealistic use of language enables us to place him within a Spanish, literary tradition, although it is more difficult to situate him within a particular movement or framework of twentieth-century Spanish theatre.

The particular problems presented by the plays, from the translator's point of view, are the baroque, surrealistic and absurd lexical items which are highly individualistic and original and offer few possibilities of neat equivalence in translation. The elements of the *Popular*, a Spanish tradition of writing in the language of the lower classes, with its use of vulgar street language and crude, earthy idiomatic expressions, is strongly in evidence throughout his work. A particularly Nievian device is the use of abrupt changes of register to shock and for humorous effect, an aspect of his work which is of central interest from a linguistic point of view and one which poses interesting problems from the point of view of translation.

Nieva belongs to a non-conformist tradition in Spanish literature, despite being in the *avant-garde* of contemporary European drama. It is in his playful and imaginative use of the

Spanish language where the influences of the literature and language of his childhood are discernible. Whilst rejecting forcefully *La España de siempre*, he forms part of a dissident tradition in Spanish letters which dates back to the Picaresque novel and beyond (Nieva 1977:23). On the other hand, he is also willing to admit his debt to a Spanish cultural tradition which started with *Celestina* and *el Arcipreste de Talavera* in their use of popular language and their juxtaposition of this with a refined literary tradition.

The Spanish *Picaresque* tradition is in evidence, not only in the bizarre characterisation, but also in the use of earthy language, which will be examined in the following chapter. The reflection of this cultural tradition and the difficulties of transmitting it to the English version will be discussed.

The unashamed adherence to the Spanish tradition of farce is also clear from both a dramatic and a linguistic point of view. The *género chico* (one-act plays, sometimes containing music and song), which derived from a burlesque tradition known as the *entremés*, tending to the obscene and the vulgar, is also in evidence in Nieva's use of language.

The playwright, Valle-Inclán, one of the best-known of the early twentieth century Spanish playwrights is often quoted as having influenced the plays of Francisco Nieva. Nevertheless, Nieva himself makes an interesting comment on the difference between Valle-Inclán's use of language and his own: In an interview with Boring, Nieva noted that "Valle-Inclán me encanta, pero en fondo no es un autor que me ha inspirado mucho.....Valle-



Inclan hace un lenguaje impresionista, que da color, un color determinado, al estilo, al modo de hablar. Pero él no tiene esas tendencias (surrealistas) de transformar una cosa en otra" (Nieva, taped interview with Phyllis Zatlin Boring, 1 May 1980).

The tendency 'to transform one thing into another', referred to above, differentiates Nieva's work, from a linguistic point of view, from that of Valle-Inclan and situates him in a more surrealist tradition. It is, however, difficult to place Nieva in any particular literary niche. Influences of most post-war European artistic movements combine with a popular Spanish literary tradition to lend originality to his work.

Nieva's early life in Republican Spain and his exile in France and Italy provide the key to an understanding of his use of language and, in particular, the need to escape from, or to explode, a repressive reality, highly structured and traditional, with great adherence to form and appearance. This explosion of artistic energy and use of art as a means, not of escape from, but rather to demolish restrictions placed on the artist in society, is common to all the Spanish surrealist movement, whether in painting or in literature. The desire to shock bourgeois society expressed by the Spanish Surrealists and evidenced by some of the more outrageous anecdotes described by Bunuel in his autobiography, My Last Breath, such as the incident when Salvador Dali attends a fancy dress disguised as the missing Lindbergh baby, succeeded in shocking New York society to the extent that the two were repatriated to Spain.

Nieva uses language to great dramatic effect. His choice of words and his use of contrasting styles and registers; the simultaneous use of a high literary style and coarse street language all combine to enliven the performance. The inappropriacy of the language used by particular characters and the obscenity of expression are effective dramatic devices which he exploits to the full and which both shock and amuse in their absurdity.

The surreal tradition is one which flouts restrictions and inhibitions and Nieva, in this respect as in others, belongs in this tradition. His characters are flamboyant and eccentric in a way which allows them to defy convention and transgress taboos. The unspoken taboos in question are those of the *España negra*, or the dark side of Spanish life, with its repressive, inquisitorial undertones which pre-date the dictatorship and form part of everyday life even today.

Moises Perez Coterillo claims that 'El teatro de Nieva hace una liquidación sin precedentes de la *España negra*' (Nieva 1985:afterword). The *macho* tradition is part of this repression and the fact that Nieva's women are far from ideal stereotypes of the repressed female of traditional Spanish society is significant. The flouting of the traditions of the *España negra* is an integral part of the work and is particularly in evidence in the celebration of the erotic, calculated to scandalise Spanish society.

There exists in Spanish literature a tradition of strong women characters. The plays of Lorca and those of the Golden Age authors contain strong female characters who are central to the dramatic action. Nieva is no exception to this tradition and the use of what is

traditionally considered 'male language' by his women characters adds to the force and dramatic impact of the work.

In *Pelo*, virtually all of the women tempted by Mal-Rodrigo do not so much succumb as launch themselves with gusto into the whole romp. Ceferina *maja salida* desires Mal-Rodrigo and is proud of the fact "adios patria y parientes. No lloréis que me comen por quapa" (Nieva 1975:18).<sup>18</sup> She is shameless in the recognition of her desires and berates *Mal Rodrigo* for rejecting her "quién eres tú...para despreciar mi talle quebrado por medio, la dura trenza de mis cabellos...?" (Nieva 1975:55). Even the abbess 'criatura resistente' is less than demure in her role as moral guardian, protecting the innocents from Mal-Rodrigo. The whole notion of the sacrifice is a parody and a farce and must be seen in the context of the 'España negra' which Nieva's work defies.

The social mores of traditional Spain with regard to women are well-documented. Until the Second Republic a man could, with legal impunity, kill his wife in a crime of passion<sup>19</sup>. The notion, therefore, that the wicked Rodrigo was not actually that much of a threat and that the Duchess was actively in favour of being 'sacrificed' was blatantly in defiance of the traditional role of the Spanish woman and in complete contrast with the 'Madonna' image. In this respect Nieva is perhaps influenced by Lorca, whose portrayal of passionate women in his three tragedies, while differing greatly from the blatant,

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<sup>18</sup> The quotations from *Pelo* are taken from: Francisco Nieva, (1975) *Teatro Furioso* Madrid Akal/Ayuso Editores. Ed M.Perez Coterillo, reproduced in the appendix.

<sup>19</sup> Much of the enlightened legislation of the Second Republic, regarding the legal position of women, was repealed during the dictatorship, when women's status reverted to its position prior to this.



esperpentic, and farcical figures of Nieva's work, does coincide in this recognition of female power. Neither portray women in their traditional roles; Nieva explodes the myth through farce and Lorca through tragedy, both reject the stereotype and are inspired by the same reaction against this distorted view of female sexuality. Lorca, as a homosexual, may have seen in the repressed condition of Spanish women a reflection of his own repression.

Wicked Rodrigo is a parody of the Spanish macho figure, who finally runs and, literally, turns tail when confronted by the Duchess's ardour, despite the dragonian huffings and puffings which frightened the 'Sublimitas' in the opening scenes, (a fear which, according to El Ciego, is wholly unfounded as Rodrigo prefers 'billowing skirts' to 'chaste headdresses') (Nieva:1991:175). Much of the humour of *Pelo* resides in the irreverent portrayal of religious characters. The Sublimitas are not rounded characters, any more than are his other characters, as the plays make no attempt at realism. They are a chorus of piping voices who recite nonsense in the form of a religious chant, evoking saints' names accompanied by irrelevancies, such as: 'Saint Ignatius of the Black Beret'. They are supposedly afraid of Wicked Rodrigo, but they are happy with their own Sacristan who has a long, provocative tail which is 'the scandal of the kingdom' (Nieva 1975:177).

In the name of sacred tradition the tailed sacristan empties the convent waste into the municipal well. "It's the custom and you shouldn't mess about with customs", he insists, in the face of the Aguacil's threats. He replies, when criticised, that his tail is permitted by the Church and is, therefore, beyond reproach.

The hilarity of the sacrificial ceremony, where the sacrificial *Maja*, accompanied by a solemn procession and the wailing chant of the *Sublimitas*, regretting the dreadful sacrifice being made on behalf of the people of Madrid at the behest of the King Dieciocho to 'satisfy the ferocious lover who claims her', is produced by the fact that the sacrificial virgin is described in the *dramatis personae* as the *Maja Salida* and who, when rejected by Wicked Rodrigo, calls him an 'impotent old fool' and a 'presumptuous brute' (Nieva 1975 :181). She later insists, after spitting down on him in the well, that she will soon find herself 'a real man who breathes fire from his snout, which is to say an ordinary Spaniard'. The phrase used for breathing fire has a further connotation meaning 'to shoot one's mouth off', again an attempt to debunk the macho myth.

Ceferina's feigned desire to descend to Mal Rodrigo 'as meek as a lamb' and the prurient curiosity of the Madrid throng, who provide a bawdy chorus chanting lewd comments, add to the humour as Ceferina 'willing and heroic, eyes raised to heaven' is raised on a platform above the well. Her final comment, prior to being lowered for sacrifice, is "No lloréis que me comen por guapa. Esa es la miel de mi martirio" (Nieva 1975:182). The backdrop to her platform is provided by Goya's Nude *Maja* and the crowd cries for contemporary artists to capture the scene in oils.

*Pelo* is a *reopera* which is, in the words of the author (Teatro Furioso:Notas del autor:173),

A form of theatre which is open to new visual forms: dances, parades, and a changing and 'efectista' scenography. A rough canvas, a short script which

can provide a framework for other aims and concepts. It can be set to music, changed to a song or developed by improvisation and fringe events. It aims to be a festival of variable length and can be performed equally well distanced from the audience or by being forcefully carried into their midst. It can be an overwhelming performance and its highest aspiration would be to appear as a triumphant baroque parade, complete with decorated floats. So it is important that the area of performance, whether indoors or outdoors, should allow for a surprising and imaginative display.

Having said this, read the text - squeezed to the full - complementing it where necessary as you would with a *libretto*. In the same way as in a *libretto*, there is here a curious condensing of dialogue and ideas, a kaleidoscope of scenic effects, which - without being fleshed out by music - could give the impression of theatre which is as yet unknown, partly aborted and partly 'in need of repair' (Nieva 1975:foreword).

Nieva touches upon a key point here and, unusually for an author, gives carte blanche for a free interpretation of his writing. If, as Steiner would maintain, all acts of communication are acts of translation, regardless of whether the dialect or sociolect is shared, of whether it is between two speakers of the same language, then a play invites a further layer of interpretation, or even two or three; the producer, the actor and the audience, all of whom will translate the meaning of the production according to their capacity to decode, encode and interpret the performance. The translator of the work is somewhere in the middle.

If, as Bell (1991:14) suggests, all communicators are translators, "all communicators, as receivers - whether listeners or receivers, monolinguals or bilinguals - face essentially the same problem; they receive signals (in speech and in writing) containing messages encoded in a communication system which is not, by definition, identical to their own". Bell's nine steps in the process of communication, which is examined more closely in chapter 1 of this work, are carried out between the playwright as sender and the translator



as receiver in bilingual communication and then repeated between translator and producer and producer and actor in monolingual communication. Anyone who has ever played the game whereby a message is whispered between various members of a group and in which the final message is compared to the original will realise how distorted messages may become.

Nieva recognises as valid, and indeed invites, further interpretations and additions to his *reopera*, sees it as a 'rough canvas' on which other artists can work. The translator need not concern herself with the future interpretations of the work as such, but rather with the process of decoding and encoding or of deconstructing and reconstructing the message in question, in this instance the play, which will facilitate any future interpretation.

The dramatic structure, as opposed to the linguistic elements of the *reopera*, aids comprehension and facilitates communication. There is, however, a close link between the two. If we consider a speech act to involve paralinguistic elements, then these elements within a theatrical context are highlighted and have a more stylised effect than in normal speech. Lighting, music, costume, scenography and the general semiotics of theatre form part of the ultimate speech act in question. Part of the interpretation of the message in question is facilitated, then, by the indications given by the dramatists's directions and indications regarding the settings.

### 3.4. Teatro Inicial and Teatro Furioso.

*Pelo* forms part of the *Teatro Inicial* or early works of the author. As Becker comments (Nieva 1975:1) in the prologue to the Complete Works, the early works of an author are important as they contain what is to become characteristic of the work in general. She sees Nieva as an author of the 'new cybernetic era' (cybernetics being understood as a type of thought which synthesises the qualities of oriental circular thought and those of western thoughts based on causal logic in linear progression.) It is difficult to separate the *Teatro Inicial* from the rest of his work as the seeds of later plays are found here. Es Bueno no Tener Cabeza, for example, first came out under the heading of *Teatro Furioso*.

Included amongst the early works are: Es Bueno no Tener Cabeza, a play for puppets or masked silhouettes of 45 minutes duration and with three characters. It is a one-act play with unity of place which was first published in 1971 and a year later appeared in a second edition under the title of Teatro Furioso. The premier took place at a private function in the Madrid Ateneo, this being the only way of avoiding censorship (Nieva:1991).<sup>20</sup>

The *Teatro Furioso* is *furious* in its energy and in its rampant defiance of the realist tradition. It is at once a romp and a farce and yet contains an underlying structure of its own and a symbolism which is both blatant, in the comic use of religious archetypes, and

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<sup>20</sup> The Teatro completo (1991) referred to here, is a limited edition brought out by the Comunidad de Castilla de la Mancha, the region in which Nieva was born.

subtle, in the fact that it is open to a variety of interpretations. The plays which come under this heading are:

:*El combate de Ópalos y Tasia* (Madrid 1953)

:*El Fandango asombroso* (Madrid 1961)

:*Nosferatu* (Madrid 1961)

:*Pelo de tormenta* (Paris 1962)

:*Es bueno no tener cabeza* (Dublin 1966)

:*La Carroza de plomo candente* (Rome 1971)

:*Coronado y el toro* (Madrid 1973)

:*La paz* (Madrid 1977)

As can be seen, two of these plays, *Pelo* and *Es Bueno*, belong to the early period and, this being the period which interests us from the point of view of translation, the *Teatro Furioso* and all it represents in the work of Nieva is of relevance to this work.

Nieva himself claims that *Pelo*, 'mi comedia-poema', is a condensation of his aesthetics: "la culpa, la transgresión, la dilapidación pasional y sensorial, la sojuzgación del hombre por los sistemas prácticos de conservación, etc." (Nieva 1973:101-102).

Bousoño, in his introduction to *Teatro Completo* (Nieva:1991:18), stresses the originality of Nieva's work and "la fuerza excepcional de su lenguaje, incesantemente



creador hasta un punto pocas veces alcanzado, el caudal que parece inagotable de un humor totalmente personal, cuyo indole de nunca usada luz, resulta en todo momento pasmosa...".

The exceptionally creative nature of Nieva's language and the highly personal humour commented upon are, of course, closely linked and present interesting problems of translation. Bousoño goes on to emphasise the importance of text in Nieva's work:

El texto surge ahora con una fuerza que habría que llamar irradiante y que tiene caracter explosiva. Una imaginación luciferina pone dinamita en nuestro entendimiento y todo en el estalla. El verbo ostenta tonalidades satánicas y nos quema su maravilla. El mundo se destruye y con las piedras de las ruinas se levanta súbitamente un mundo nuevo: el que Francisco Nieva inventa y pone, sorprendentemente, bajo nuestros ojos (1991:15).

The 'new world' created by Nieva from the destruction of the old, a destruction brought about by his verbal dynamism, is a world of the absurd, yet there is much that distinguishes Nieva's world from that of Ionesco, in particular the absence of despair and hopelessness. The Theatre of the Absurd, as Esslin points out, strives to express its sense of the senselessness of the human condition and the inadequacy of the rational approach by the open abandonment of rational devices and discursive thought (Esslin 1984:20-25).

Nieva's characters often find themselves in desperate situations, but are somehow buoyant and lack the hopelessness of abandonment referred to by Ionesco, "absurd is that which is devoid of purpose, cut off from his religious, metaphysical and transcendental roots, man is lost; his actions become senseless, absurd, useless" (Esslin 1984:6).

Although the abandonment of rational devices and discursive thought may be applied to Nieva, this sense of hopelessness is rarely found. His characters are too vibrant and vital. "...Esperanza y vida son términos positivos que mi drama vuelve a considerar tras haber pasado por la frontera del 'absurdo fatal', teatralmente expuesto en nuestro tiempo, con diferencia de sistema, desde Sartre a Ionesco" (Nieva 1969:22).

'Hope' and 'life' and a sense of exultation are ever present, the more incredible when one thinks that the early plays and many of the later ones were written with little hope of ever being performed. Perhaps the belief that the dictatorship and the social, political and artistic restrictions which this represented for the artist and for the Spanish people in general are not an integral part of the human condition and are finite explains the difference between Nieva's theatre and that of Ionesco.

Nieva calls the *Teatro Furioso* plays 'apocalyptic' and comments on their possible inspiration in a scatological tendency within Spanish consciousness (Nieva 1975:31). Coterillo (1975) cites as an example of an apocalyptic movement the Jewish uprisings during the period of Roman occupation, prior to the Diaspora, and sees the symbolism of the destruction of the temples and the desire of the Jews to reconstruct the cult, and to rebuild anew, as something which provides an interesting insight into Nieva's work. He quotes from Bright's history of Israel for a definition of 'Apocalypse':

Apocalypse means revelations. It aims to reveal in esoteric language the final happenings which were about to occur at any moment. They aimed to describe the strange visions in which nations and historic individuals appear in the form of mysterious beasts (Nieva 1975:6).

Esoteric language and strange creatures in Nieva perhaps form part of an apocalyptic vision, as Coterillo suggests, but they do so in a humorous and frivolous way which somehow suggests that any new order they might impose would be an anarchic and fantastic one. Nieva's plays are not political in any strictly ideological way, but rather pleas for greater freedom from restrictions of all kinds. In this sense they belong in an anarchic Spanish tradition which can also be found in Spanish Surrealist painting and the cinema of Bunuel.

Nieva's own words on the passion he feels may underlie his art are interesting in this respect:

Mi problema - que casi no es politico-administrativo -consiste en la utopia de querer triunfante a mi pueblo, a todo mi pueblo. Jamás quisiera que esto se convertirse en una postura estética, pero a no dudar también que hay posturas estéticas que provienen de una pasión, y mi pasión es oscura, ¡qué le vamos a hacer! Tanto me atraen las grandes fuerzas reprimidas de este país que me gustaría escribir en algarabía morisca, si pudiera y se me entendiera; con palabras de fuego y de humo de todos los "equivocados", según la ley de la forma que se quiso dar a España". Tanta forma que se quiso dar que negó la novedad del espíritu, hasta llegar a dudar inquisitorialmente de sus místicos, por sus arrebetos se salían de la cuadrícula de los buenos sentimientos. Y, efectivamente, se salían. Nuestro destino de nación ha sido demasiado testarudo (1975:11).

The word 'forma' appears twice in the sense of structures which are imposed on the Spanish people and the Spanish psyche and which are mentioned in the context of the Inquisition and the damage it imposed on the spiritual, mystical side of the Spanish nation. Sympathy bordering on passion is expressed for the "equivocados" (author's inverted commas), those who were "wrong", who did not fit into the structure. An analysis of the



language of the plays reveals a reflection of this passionate need to break out of confined structures and to occupy greater artistic space both linguistically and dramatically.

Al querer violentar un idioma se pone de manifiesto sus escondidas posibilidades(...), ya que el expresionismo y la distorsión del lenguaje lo mismo pueden llevar hacia arcaísmos remozadas que a la invención de vocablos. No hay duda de que a una lengua no se le puede quitar su color, si no queremos escribir un estilo administrativo" (Nieva 1975:8).

### 3.5. Surrealism and Expresionism in Nieva

The Second World War, or the post-civil war era, left Spain and the rest of Europe in a state of devastation and change. The effects of these changes could not help but be reflected in the artistic movements of the time. The European artistic centres were in ruins and America experienced a wave of immigration from the old world which had enriched its artistic life since the thirties (Edward Lusie-Smith 1991:11).

The Art of the post-war period, however, was not completely innovatory, but had its roots in the Modernist movements, dating from the beginning of the century. The influence of Jean Paul Sartre and the Existentialist philosophy in the post-war period prompted the idea that man was alone in the world, bereft of faith and capable of finding redemption only in creative activity. This philosophy laid emphasis on the originality of the individual and there has followed, in quick succession throughout the post-war period, a series of artistic movements which re-examined ideas from the pre-war period.

Expressionism, the first great movement of the post-war period, had its roots in Surrealism, the most important movement of the pre-war years. Andre Breton, in the First Surrealist Manifesto in 1924, spoke of the aims of the movement in terms of 'psychic automatism' by means of which it was necessary to express verbally or in writing the way the mind really worked in the absence of any control imposed by reason.

...El surrealismo se basa en la creencia de la realidad superior de ciertas formas de asociación marginadas, o en la omnipotencia del sueño, en el papel desinteresado del pensamiento. Tiende a destruir los otros mecanismos psíquicos y a ocupar el lugar de éstos en la solución de los principales problemas de la vida" (Breton 1972:45).

According to Maurice Nadeau, in his history of the movement, the surrealists' devotion to political revolution and their pre-war association with Communism left their artistic energies exhausted in the post-war period. The leading figures of the Surrealist movement, including Max Ernst, Salvador Dali, André Masson and Peggy Guggenheim, left Europe for New York where Gorky had already lived since before the war. Antonin Artaud, who was later to exercise a great influence on Nieva, was connected with the movement at this time. The Surrealist movement in painting was divided between the meticulous detail of Magritte or Dali and the techniques chosen by Miró and Tanguy where form is hinted at, rather than representing real objects. The movement was characterised by its audacious technique and the freedom with which its exponents used materials and played around with forms (Nadeau:1963:14).

According to Breton, quoted by Bonet-Correa (1983), art should be beyond aesthetics and ethics. The Surrealists experimented with different techniques, created absurd objects, provoked challenging situations and generally followed their instincts of the moment. They were concerned with the dynamics of Art and frequently dabbled in ephemeral art forms which were not able to be housed in a museum. 'En el fondo y no en la forma se es surrealista' (Bonet-Correa 1983:27). According to Bonet-Correa, Surrealism is not so much an art form concerned with literature and painting as a new way of looking at life. The aim of the Surrealists was to change society and a whole way of life. They saw themselves as visionaries or mediums of a different reality. Anything was permissible as long as it 'provoked emotion and awe in the face of mystery, opened the door to dreams ...' (Bonet-Correa 1983:12).

In 1925 Louis Aragón gave a lecture at the Residencia de Estudiantes de Madrid. The Residencia was founded as part of an educational experiment by the Spanish educationalist, Giner de los Ríos, and based on the Oxford College. Amongst the famous writers and artists known as the '27 generation', García Lorca, Alberti, Dalí and Bunuel passed through the Residencia and were likely to have been present at this lecture:

"Ah! Banquiers, étudiants, ouvriers, fonctionnaires, domestiques vous êtes les fellateurs de l'utile, les branleurs de la nécessité. Je ne travaillerai jamais, mes mains sont pures. Insensés, cachez-moi vos paumes, et ces callus intellectuels dont vous tirez votre fierté. Je maudis la science, cette soeur jumelle du travail. Connaître! Etes-vous jamais descendus au fond de ce puit noir? Qu'y avez-vous trouvé, quelle galerie vers le ciel? Je ne vous souhaite qu'un grand coup de grisou qui vous restitue enfin à la paresse qui est la seule patrie de la véritable pensée... Il n'est pas de révolution totale, il n'est pas que la révolution perpétuelle" (Brihuega 1974:208).



That year marked the beginning of a series of publications in Spain on the subject of Surrealism which continued until 1936. In painting, the term surrealism was associated with Dalí's work, exhibited in 1927. The close friendship between Lorca and Dalí at the time and the former's later association with the School of Vallecas, whose work soon began to show elements of surrealism, marked the beginning of the surrealist movement in Spain. The close association between the visual arts and literature within the movement is clear from Lorca's drawings and Luis Bunuel's Chien Andalou first shown in 1929. In 1928 the "Full Groc" or Catalan anti-artistic manifesto was published mentioning the work of Chirac, Miró, Desnos, Breton, Aragón y Lorca (Brihuega 1974:213).

Surrealism was formed by a split from Dadaism, which was concerned with conflict in society. Surrealism sought to express two realities: the interior and the exterior, and believed, influenced by psychoanalysis, that the vitality of art derived from subconscious sources. Faced with the reality of a society which destroyed itself, Dada sought to employ the absurd to destroy this society. Impressionists, expressionists and surrealists destroyed or removed the visible reality of the objects they portrayed. Form was not to be respected or adhered to, the imagination should rule over reason and logic. Aspects of this aesthetic are in evidence in the play *Pelo*, as our analysis of the work in the following chapter shows.

The Surrealists drew no distinction between art and life. Their avowed aim was to create a new man ( Westerdahl 1993:17). They were interested in everything esoteric, magical and bizarre. They flirted with Communism, at a time when it was still considered

revolutionary, and, in a similar way, were interested in Freud's theories. They were in love with ideas and ideals, rather than with mundane reality and were obsessed with dreams of absolute freedom.

Nieva, although influenced by the Surrealists, differed from them in many respects:

The Theatre of the Marvellous comprises a group of theatrical work that has derived the main thrust of its spiritual nourishment and impetus from surrealism, but that has, of necessity, moved beyond a mere imitation of works created by the earliest writers of the movement in order to make a theatrical statement of its own (Orenstein 1975:8-9).

For Nieva, the demand of surrealistic aesthetics is not his over-riding concern, but rather something formative in his life which influenced his work and thought. Nieva belonged to the post-war generation which continues to be influenced and formed by the ideas of the Surrealists, without having espoused their aims as something new and revolutionary. Nieva's work has been influenced by all literary and artistic movements of his time, although, when asked whether his work showed aspects of the Absurd, he stated, "Sigo creyendo que tengo más que ver con el expresionismo y el surrealismo" (1975:11).

The similarities between the two movements are pointed out by Furness:

Surrealism overlapped to a considerable extent with expressionism, in the emphasis on, in fact, expressing, liberation from restriction, and on the importance of vision: it was Guillaume Apollinaire (together with Ivan Goll)

who invented the term, as well as being closely connected with the literary expressionism of the Sturm circle (Furness 1973:93).

The influence of Artaud on Nieva's work and his avowed adherence to Surrealist principles, even after his expulsion from the group after refusing to join the Communist Party, show a direct link between Surrealism and Nieva. His theatre company *Théâtre Alfred Jarry*, was founded with the express purpose of presenting Surrealist theatre and in reaction to bourgeois theatre. One of the first plays produced by Artaud was Strindberg's Expressionist work The Dream Play. His own work reflected the German expressionist theatre of the 1910s and 1920s.

The artistic movements in post-war New York, where some of the major figures of the movement gathered, were naturally influenced by Surrealism. Notably, the abstract impressionist painters, such as Jackson Pollock and Harold Rosenberg. Robert Motherwell's painting *Elegy to the Spanish Civil War* shows the formative influence of the European wars of their youth on the lives of the post-war generation of artists.

The post-war veneration for the artist as the representative of European civilisation, which came about in reaction to Nazi's repression of and hatred for 'decadent art', caused Picasso's work to become as venerated as that of Miguel-Angel (Lucie-Smith 1993:50). Nieva, however, had spent the Civil War and the Second World War in Spain and the depression he felt has been mentioned previously in this work. The surrealist need for freedom, both personal and artistic, must have found a reflection in Nieva's own situation, prior to leaving Madrid for Paris.



The Surrealistic elements in Nieva's language are manifold and are expressed, as will later emerge in the analysis of *Pelo*, through language. The play, *Pelo*, technically belongs to, or sews the seeds of, the *Teatro Furioso*, despite forming part of the *Teatro Inicial*. Orenstein (1975:75) uses the term 'Theatre of the Marvellous' to categorise Nieva's plays. The term *marvellous* itself provides a clue to one of the key aims of the surrealist manifesto: marvellous in the sense of that which appeals to the imagination and belongs to dreams and also that which causes us to 'marvel' at certain strange occurrences. Much of the sense of the marvellous resides in the juxtaposition of linguistic elements to cause surprise. This is frequently caused by unusual lexical choices, such as the nonsense litanies of the *Sublimitas*, and also by changes of tenor, whereby the same character, in the same speech act uses a variety of registers, despite the similarity of situation, such as the use of the intimate *tú*, singular, *vosotros* plural and the formal *Uds.* used by *El Ciego*, mentioned in chapter 4.

The importance of dreams in the surrealist manifesto also provides an explanation of some of the violations of register and the seeming incoherence of some of the utterances in *Pelo*, such as *Sor Juana de la Coz's* outburst:

"!El demonio y la carne;...!Los enemigos de la mujer;...!Los cuatro jinetes del Apocalipso;...como tú me deseas;... !El acorazado Potemkin;...!Roma, ciudad abierta;"

This is reminiscent of the Freudian psychoanalytic technique of free association, and is in accordance with the surrealist fascination with the subconscious and their belief that

aesthetic considerations were secondary to the need to shock and their desire to use the subconscious as a means of liberating the artist from accepted formulas of bourgeois theatre.

The surrealist belief that aesthetics were less important than creativity and originality, we would argue, provides an explanation for the linguistic variation which is commented upon in the following analysis, and which, in the case of *El Ciego*, represents an authorial voice which occasionally intervenes, with marked violation of tenor, within the same utterance. The occurrences are too noticeable and too frequent to represent artistic slips. They coincide too well with the documented surrealist manifesto to represent anything other than an authorial intervention of a coherent and well thought-out variety. Realist literature sees such authorial intervention as aesthetically undesirable for the obvious reason that the omniscient author detracts from the realism of the work of art. Nieva, however, we would argue, uses it as a deliberate device to detract from the realism and to curb any suspension of disbelief that the audience may incline to. This is not to say that all changes of register represent this authorial voice, which is recognisable by the tendency to use erudite and academically precise language, containing more characteristics of written language, in the mouths of characters who are otherwise associated with the use of street language.

### 3.6. Concluding remarks

We have examined, in the above, the various influences at play in Nieva's work and conclude that it is difficult to slot this work neatly into any particular literary *niche*. It

would be a mistake to approach the text with the idea that Nieva's work is *surreal* or *absurd* or wholly in a Spanish literary tradition. It is preferable to view the work as the result of a variety of influences, each of which is adapted and transformed by his innovative use of language and imaginative use of sets into something unique. Spanish traditions are in evidence in his work, yet are transformed by avant-garde European influences. The recognition of these intertextual elements is dealt with in the following analysis of *Pelo de Tormenta*.

In Chapter 4 examples are given of the surrealist aspects of language and those aspects which represent the *popular* tradition in Spanish literature. An analysis of dramatic discourse in Nieva will aim to document the particular use of deviation which characterises the surreal and other avant-garde aspects of the work.



## Chapter 4. Analysis of the dramatic discourse

### 4.1. Introduction

The subdivisions of this chapter largely overlap, as violation of register coincides with the subheading concerning the surreal and absurd elements and intertextual elements of various kinds with both of these. Nevertheless, there are differences which exist between the two former sections concerning propositional content and semantic meaning. The violation of register, with its various sub-divisions, has implications for meaning, but does not necessarily render the utterance meaningless, as is frequently the case with the examples of deviation given in section 4.6, concerning the avant garde aspects of discourse.

The study of a literary text is necessarily a study of deviation. Closer analysis is given to those areas of discourse which display deviation of a variety of types. For the purposes of this analysis, deviation is sub-divided into 'standard' and 'non-standard', the former referring to deviation normally used for poetic effect and having a specific purpose, such as:

*Miren, miren como ya protesta la naturaleza (4)*  
*(Look, look how Nature is protesting)*

This is an obvious standard poetic deviation employed, as most imagery, to enhance a particular point the author is making about the weather. Nieva's use of deviation for its own sake, as it were, with no obvious 'poetic' purpose, is what is referred to as 'non-standard'. This is not to say it is purposeless, clearly there is a purpose, as we hope to illustrate, but this only becomes obvious when we examine the text and see non-standard deviation as a characteristic feature of Nieva's discourse, which will allow us to place him in a Spanish surrealist tradition and to demonstrate intertextual influences with perhaps more conviction than was previously the case.

The non-deviant language, in which propositional content and illocutionary force can be readily rendered in the TL, is not generally subject to close analysis in this chapter as the non-standard elements are those which concern us most, in so far as they provide textual evidence of the artist's aesthetics and have greater implications for translation.

Given the literary nature of the text, and bearing in mind its uniqueness and originality, we make no apologies for approaching this analysis with a combination of techniques borrowed both from literary criticism and from discourse analysis. The importance of semiotics in the dramatic text and the need for the translator to be conscious of the variety of possible interpretations which can be made from any given text are discussed in chapter 2 of this work. We do not, therefore, confine ourselves to a purely linguistic analysis of the isolated word on the page, but seek to view the text as a communicative act requiring an understanding of socio-cultural elements and literary history.

We agree with Bell's view that, "we must, of necessity, extend our analysis of the code and go beyond the formal structure of language as a context-free system of usage to its context-sensitive use in discourse and, as a result, take the analysis of the formal aspects of the code beyond the sentence into the text"(1991:161).

The notion of the speech act, as outlined in chapter 2, with its implications for contextualisation, is felt to be of particular relevance to the analysis of drama. As characterisation is of fundamental importance to the dramatic text, pragmatic analysis of the dialogue enables us to understand the characters, and to ascertain whether these are realistic in their portrayal, or whether they are being used as a vehicle for the author's aesthetic.

Clearly, it is important for us to recognise the varying idiolects employed within a single utterance and the changes of tenor from one utterance to another in order to understand the text and, in particular, the characterisation.

The translation of seemingly incoherent elements presents a problem for the translator, in so far as it requires a decision to be made regarding the nature of the reconstructed text. The search for norms in the TL theatrical culture would indicate that such plays<sup>21</sup> form part of a European cultural tradition.

The title of the play provides the first clue as to the nature of the play. This is not a real storm, but rather *Un Pelo de Tormenta*, "A Hint of a Storm". This would suggest

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<sup>21</sup> Work by Pirandello, Brecht and Ionesco have all been performed on the British stage, which is accustomed to European Expressionism, Surrealism and the Theatre of the Absurd, elements of which are found in Nieva's work.



from the outset that we are not supposed to take things too seriously. Humour plays an important role in the play, the translation of which is notoriously difficult and will be commented upon throughout. Above all, despite our constant use of the term *play*, it is important to stress that the *reopera* contains elements of cinematography, opera and music hall, all of which are performance-oriented, and stretch the reader's imagination beyond the text.

#### 4.2. Violation of register:

Violation of register is employed in the Blindman's opening speech. The format *Público respetable* (3)<sup>22</sup> is a convention, in accordance with his role of M.C., and gives an immediate impression of a circus performance or variety act:

*Público respetable, que vienes a ver y oír esta  
festosa reopera, género intemporal difícil y caro.*

However, the use of the familiar *tú* form in the singular is unusual as the format would require the plural *vosotros* in addressing the audience directly and shows, perhaps, a certain pedantry as 'respectable public' is indeed singular.

The use of *género* without an accompanying article as a post-modifier of *reopera* is a dramatic or rhetorical device, in accordance with the register of language used by the M.C. The use, later in the same utterance, of the idiomatic *si te chinchán de firme*

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<sup>22</sup> page numbers refer to ST 1 in the appendix.

marks a change of tenor as the formal tenor is abruptly interrupted. The following line, however, reverts to the same post-modifying device described earlier, characteristic of the formal written mode:

*Este Madrid, ciudad real y administrativa, fundada en un extremo del mundo, casi en su borde, azotada por vientos muy fríos y calores purgatoriales. (3)*

Deviation of a different kind is employed in the remainder of the utterance, when we are told that King Dieciocho lives here 'with his pockets full of tobacco, accompanied by a laid-back inquisition'. What is violated here is the reader's expectations concerning King and Inquisition, as the expected collocations are not used. Prediction, normally employed in reading and interpreting a text, are thereby challenged from the beginning.

The literary device of foregrounding is employed by the initial positioning of the adjective:

*Difícil es de creer en la cosa estupenda, nacida en el fondo de este pozo de las lamas y la cochambre depositadas en él por los tiempos desmemoriados que imperan en España. (3)*

This is a literary device, in accordance with the register of the rest of the utterance. The dramatic device of naming Mal Rodrigo only after various emotive references to the 'terrible thing born in the bottom of this well' is over-played in order to set the tone of the play: exaggerated, farcical, but knowingly and deliberately so. Similarly, the syntactic complexity of the sentence is more commonly employed in the written than in

the spoken channel.

The initial address by the Blindman has a high degree of formality shown by the use of right-branching structures, evidenced in the post-modification. Romance languages tend to right-branching structures and so care must be taken to note those that are deliberately so for effect, as shown by the use of the post-modifying list of structures to describe Mal Rodrigo above.

The degree of formality of the text is expressed in the syntax, rather than in the lexis, most of which is accessible, and in the absence of spontaneity evidenced by the lack of repetition and the length of the sentences, more characteristic of written than spoken language:

*Yo soy el ciego de la guitarra de pino, el que canta y exagera su crónica, y conmigo se muestra familiar e indefenso porque no le falta vanidad y quiere dejar memoria voceada de sus fechorías. !Ran, raaan...¡ (3)*

In addressing the public El Ciego now uses a more intimate tenor, employing the plural form, which in itself does not denote a change of tenor, but the use of shorter sentences and the absence of strings of post-modifiers do indicate a lesser degree of formality, as does the use of the familiar form of address:

*No responde todavía. Alguna mala obra estará meditando. Pero hay signos que no engañan, y ya los tenéis a la vista. Fijaos en lo desierto de las calles, notad el relente azufrado de la brisa. Así es como se ponen cuando "se va a armar la gorda". (3) (author's inverted commas)*

The author's use of inverted commas flags the vulgarity of the phrase. It is



noteworthy that he does so on this occasion and, yet, employs such deviation throughout the play without drawing attention to it. The only apparent reason for doing so here is to destroy rhetoric. Immediately the tenor of the utterance changes to show a high degree of formality, characterised by the choice of lexis, *se halla preparado*, instead of the less formal *está preparado*. The choice of the slightly more formal, *el problema se desate del modo insospechado*, which could be stated more colloquially without the prepositional adjunct is another formality marker. The use of an alternative verb to replace *estar* in the passive form is a formality marker in Spanish. The embedding is also characteristic of written rather than spoken language.

In the blindman's next utterance:

*Aquellas son las sublimes almidonadas (...) faldas de mucho vuelo. (4)*

he again uses the formal syntactic devices described earlier, although the tenor is rendered more intimate by the nature of the confidences imparted concerning M.R. In the following utterance *El Ciego* changes from the familiar informal to the polite formal:

*Miren, miren como ya protesta la naturaleza (...) el tiritar de los cobardes violines. (4)*

The syntax, however, reverts to the informal spoken language, characterised by spontaneity and the use of shorter phrases in rapid succession with an economic use of adjectives.

In the following utterance, commenting on the velvet uniforms, the use of the verb

*mean* (to piss) instead of the more polite *orinar* (to urinate) also adds to the informality of the tenor:

*! "Uff; Los tales siempre me hacen estornudar con la humedad de sus terciopelos. En ellos se mean en cuanto salen de su alcaldía. (4)*

and later, in the following utterance:

EL CIEGO:

*Están desacreditados, llenos de modorra. Si el mejor día no los barre el Mal-Rodrigo de un coletazo, se los comerán las chinches que abundan y se repiten en sus comisarias. (5)*

the tenor maintains a similar degree of informality with the use of colloquialisms, such as *de un coletazo*.

Mal Rodrigo's cry from the well employs standard poetic devices until expectancy is defeated in the final image:

*Mujer quiero, blanda y cabelluda; mujer rebozada en carne, mujer llena de rincones, felicísimos escondrijos; mujer llena de orificios como el queso de Gruyère... (7).*

The inversion of subject and predicator, the absence of the determiner and the post-modification and listing are all poetic devices in Spanish, although the final use of Gruyère cheese as an image detracts from the 'poetic' effect to produce a comic effect.

The chorus narration of events of a dire nature in dramatic language is interspersed with coarse phrases, such as, *poner cornudo* which has sexual connotations.

*¡Desventurada, triste...! Así has de morir, bajando al pozo, alimentando nuestros pecados y haciendo cornudo al pueblo que te crió. Maldita sea nuestra estampa. ¡Castigo, castigo y penitencia...! (8)*

and later:

*¡Viva, viva, qué modosa! ¡Qué morena tostada! ¡Qué regalo de individua! Pues le va a saber a poco a ese colmo de lujuria. (8)*

The short exclamatory statements achieve dramatic effect, but the final line is longer and conversational in tone: "Let's see what that lecherous beast makes of her". However, in the same scene, the tenor changes:

*¡Desventurada, triste! Miradla cómo baja. Madrid guarda memoria de este cuadro, propónselo a Casado del Alisal, a Moreno Carbonero, a Gisbert o Desgrain (...)(8).*

After the initial dramatic outburst 'wretched, sad creature!', the chorus proposes that a list of artists be consulted regarding the immortalisation of the scene as a work of art, an aside which is highly erudite in the context of a street chorus and is an example of the 'two voices' occasionally employed within one character. The second, authorial voice, is invariably erudite, employing lexis and syntax at odds with the expected register and sociolect associated with the character.

Elements of this violation of tenor and expectancy are also seen in Ceferina's discourse:

CEFERINA

*¡Bestia presuntuosa, monstruo de desdén! ¿Quién eres tú, impotente legañosa, para despreciarme a mí? Una chica bonita y hacendosa, que cose mejor que la virgen y Santa Ana juntas a quién puede más, pues costurera soy de mi oficio y tengo un trasero lleno de paciencia. A mí*



*que soy capaz de coser las carreras todas con las faldas de los montes  
y de bordarme la cúpula celeste si se me pidiera de encargo(...) (9).*

The images used to stress her skills as a seamstress "(...) who can sew better than the Virgin and Saint Anne" (line 3) and who has "a seat full of patience" (line 5) and is "capable of sewing the roads to the foot of the mountains and of embroidering the celestial dome." (lines 6 and 7), are further examples of the surreal elements which here lie in the choice of bizarre images, rather than in syntactic deviation or violation of register and are characteristic of 'non-standard' deviation. The lexis employed, however, is erudite and not in keeping with the character.

As previously mentioned, the characters in the play are not realistic. One of the techniques employed to detract from realism in the portrayal of the characters is what we refer to as different *voices* heard from the mouth of the same character, thereby defeating any expectations that may have been built up with regard to their *personae*.

LA ABEDESA

*(Dando un empellón al sacristán.)*

*Ve por delante, Miguelín, y no seas majadero. Lleva derecha esa vela y déjale que se reconcoma. (11)*

The use of the colloquial *majadero* (...) *deja que se reconcoma* denotes a change of tenor, whereby the Abbess changes to popular speech, inappropriate to the character as so far portrayed. The language normally associated with the Abbess is a sort of mock-religious discourse, characterised by a high degree of formality and the use of pious injunctions:

LA ABADESA

*(A la Duquesa mohína.)*

*Enjuga tu llanto y confía en la fortaleza de nuestras virtudes. Cubre tus oídos al soplo avieso que se cuela por debajo de las puertas, al reclamo tentador que se columpia en las ramas de los árboles. Eres nuestro rehén, nuestro tesoro sellado. Anda, hija, haz un esfuerzo: macera tus gracias, sangra tus venas. Por fuerza el Mal-Rodrigo ha de renunciar a su presa y tú has de llevar alzada muy alto la bandera de nuestra continencia. (13)*

However, in the following lines and on various occasions throughout the play the Abbess's use of language becomes absurd:

LA ABADESA

*Pues ven, hija, que te vas a divertir, te lo prometo. Y, además, vas a ganar el cielo con nuestros ejercicios. Dile adiós a tu juventud. Trágate al tiempo. No sabes lo bien que se consumen los crepúsculos indigestos pelando una torre de patatas (...) (10).*

Certain deviation is in evidence in the Abbess's use of *se consumen los crepúsculos indigestos pelando una torre de patatas*, the humour of which is again characteristic of the authorial voice, which intervenes in a variety of guises. The non-standard images, such as *crepusculos indigestos*, fail to accord with the Abbess's normal use of language. Later, however, the Abbess reverts to the exaggerated piety characterised by exhortation and exaggerated use of metaphors:

LA ABADESA

*¡Ay, desdichada de tí, desdichadas de nosotras! ¿Por qué no has de tomar ejemplo de estas criaturas? Imita su fuerte cordaje de renuncia, su tensa repugnancia del mundo. (13)*

The Abbess's opening exclamations are short declaratives which produce a note of hysteria. The length of utterance and the use of repetition are important aspects of the dialogue, denoting heightened excitement, and have implications for the translation

of elements of religious parody.

#### THE ABBESS

*(Tomando de la mano a Sor Juana de la Coz, una de las que figuran en la retahíla.)*

*He aquí una hermana, ejemplo de adversidades: un mozo con la boca más fiera que un tiburón la persiguió hasta el dintel de esta casa, mas ella supo cerrarle la puerta en las narices, no sin antes haberle pateado el dragoncillo y Mal-Rodrigo que todos los hombres traen cubierto, a veces con mal cuidado disimulo. Y así ha adoptado en el claustro el honorífico mote de Sor Juana de la Coz. Es un nombre que estrangula los más golosos propósitos. (13)*

The humour of the above passage lies in the inappropriate use of language and the imagery, (a man with a mouth like a shark pursued the nun into the convent, but she heroically managed to escape from him by kicking him in the 'little dragon', 'the Wicked Rodrigo' that all men possess.) This parodying of a religious figure is very much in keeping with the anti-clerical spirit of the Spanish radicals of Nieva's generation. The humour is partly a reaction to the repression of the time,<sup>23</sup> although the parodying of the sacred is universal and could be maintained in the TT.

#### LA ABADESA

*(Con indignación)*

*Retira de ahí tus manos, gorrino, no excites más la inmundicia ni remuevas el escándalo. (14)*

Again the Abbess uses stem forms of the verb, accompanied by emotive language, *inmundicia*, *escándalo*, and the unwonted colloquialism *gorrino* denotes a change of

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<sup>23</sup> This represents a further example of what Steiner (1992) refers to as 'translation across time'. Social and temporal context dictate, to a large extent, what is considered humorous or outrageous.



tenor. The tenor changes once again in the following utterance:

LA ABADESA:

*Terminen aquí tus temores, tímida señora. Entra en esta casa de virtud, ven a sembrar acelgas en nuestro huerto de cuaresma, ven a encerar tus oídos con el doblar de las campanas (...)(10)*

The Abbess's use of language here is appropriate to her role, i.e. of a formal tenor, exhorting the Duchess to behave in accordance with her duty. It is, however, a parody rather than a realistic portrayal. Within the character, however, two varieties of language are discernible: the parody, employing mock religious terminology in accordance with the stereotype, and the *popular* colloquial and vulgar elements.

#### 4.3. Characterisation and discourse:

The discourse of the characters in the play is discussed throughout under a variety of headings. Nevertheless, certain characters employ discourse which characterises them in a particularly stereotyped way:

The Duchess's discourse is consistent throughout. She is a parody of repressed sexuality and hysteria and her discourse is characterised by the exclamatory function employing emotive lexical items, such as, *¡Salvación y justicia!; (...) muera para el mundo (...) pozo de galantería:*

LA DUQUESA

*¡Salvación y justicia, el Mal-Rodrigo me persigue, me asedia con su tentación! ¡Socorro! Abranme las puertas de ese convento. Al fin decida el monstruo de mi piadosa vocación. Santa Abadesa, trasquíame los cabellos, vísteme de lienzo picoso, acógeme en tu redil de ayunos; muera para el mundo y para los lascivos deseos de este pozo de galantería. (9)*

The Duchess's discourse is overly dramatic, as shown by the lexical items 'lascivious desires', 'sackcloth and ashes' etc. Conformity with the norms of English farce might be achieved by similar use of overtly *theatrical* language. The device of listing adds to the histrionic effect.

LA DUQUESA

*Sí, sí, renuncio a los lujos de mi cuerpo, a la joya pestífera y vulgar. Quien entra de monja, del dragón se preserva. Allá voy decidida. La virtud, como el ABC se aprende. (10)*

The Duchess's discourse maintains a similar tenor to that described above, characterised by a high degree of adjectivisation and lexis selected for its melodramatic resonances: *lujo de mi cuerpo...joya pestífera* etc. The use of short declarative statements adds to the melodramatic effect and a stacatto effect, produced by short exclamations, conveys her emotional state.

LA DUQUESA

*¡No, no, ya no puedo más! Nada vale contra la persecución de ese bandido deleitable. El aire me puebla de tentaciones, los sentidos de inefables regalos, y me está dando unas veladas que para mí se queden. ¡Ay, pía madre, madre pía, no logro arrastrar mi sombra, mi tormento crece, mi resistencia se debilita! (13)*

The Duchess's discourse maintains the same declarative, dramatic function, tending

to the farcical and ridiculous. The listing of dramatic declarations in the final line and the use of emotive lexis, such as 'torment', 'temptations' 'resistance' again achieve a melodramatic effect.

LA DUQUESA

*¡Ven lluvia de apagafuegos! ¡Señor, vuelca sobre mí tu Jordán, ahoga la tentación que me estrangula! (13)*

Duchess's speech maintains the melodramatic use of emotive language, her agitation is evident from her discourse, rather than from actions. True dialogue is, in general, not a characteristic of the *reopera*. The following represents one of the few examples of something approaching meaningful exchanges, which are, however, less than realistic:

EL SANTO OBISPO

*Habrá su Maternidad de perdonarme esta curiosidad inoportuna, pero observo que, en contra los dictados de vuestra regla previsor, tenéis un sacristán en lugar de una sacristana. Y con este rabo que azota el polvo tampoco me deja muy sosegado. (19)*

LA ABADESA

*Aquel rabo es lo de menos. Otras gracias inocentes le adornan para nuestro recreo. Es un muleto hembrado, hijo de una jumenta muy servicial que hubo antaño en el convento y de un mal aire semillero que a veces llega de las montañas. Desde pequeño se ha criado entre nosotras, triscando por este jardín y nos es muy fiel. Un guardián muy celoso de los precintos de esta casa. (19)*

The Bishop's enquiries regarding the sacristan's tail and the Abbess's reply are suggestive in the extreme, the word *rabo* in the ST having obvious sexual connotations. The use here of dialogue serves as a humorous device employed to engage the two religious figures in a dialogue whose double meaning is evident. The word *rabo*, however, is explicit in colloquial Spanish and its formal translation into English presents



problems of explicitness in the TT.

#### EL RABOSO

*(Alzando el rabo y mostrando las pestíferas al Santo obispo.) Un ojo azul tengo aquí que todo lo analiza con mucho garbo, cuenta las hormigas, las flores del campo, los cabellos que se pierden, la sombra de los pasos y la creación de todo lo bajo y superbajo. (19)*

Much of the farcical element in the work is provided by Nieva's stage directions, commented upon below, which aid characterisation. The irreverent actions here of the sacristan complement the dialogue by increasing its absurdity and are characteristic of the authorial intervention throughout in the form of explicit stage directions.

The majority of the Abbess's interventions consist of orders, employing the imperative, or admonitions:

#### LA ABADESA

*Nada hay que hacer. Perdidas estamos. No hay remisión. Quítate ya de mi vista, Ceferina, descocada; y vosotras, mis ovejas, tratad de recobraros, llevaros de aquí a esas desgraciadas que arrastran por los suelos, impedid que se ahoguen en la seda que aquel granuja nos tiende a los pies. (15)*

The tenor of her speech remains formal, however, and her character is perhaps the most rounded and consistent, although clearly still a stereotype. The importance to translation of the analysis of character by means of the dialogue is evident in this play, as the translator must recognise the absurd and surreal elements as such and not necessarily interpret them as part of the characterisation.

#### LA ABADESA

*Hijas, ¿quién os ha vuelto las caras del revés? ¡Ay, qué desdicha!*

*Recogeros esos ojos que se os pasean desatados! ¡oh, qué lenguas de mastín os hace vomitar la fiebre! (16)*

Again a mixture of evocations and imperatives. The humour here again lies in the satirical use, not of inappropriate lexical items, but rather in exaggerating the nature of the statement itself; an instruction to 'pick up your wandering eyes'. The abbess's discourse now begins to alter as elements of non-standard deviation become evident as she loses her composure:

LA ABADESA

*(Montada a caballo sobre el sacristán y enarbolando la lanza.)*

*Encerradla en una celda, vestidla de sombra espesa, que yo aguzaré mi lanza contra el insensato tragadero y le disputaré su empeño. Piquería de serafines ballestería de Santos, legiones fulminantes, granaderías del trueno, asistidme en esta empresa, escoltadme con vuestra imperial potestad. (22)*

The Abbess's language becomes increasingly incoherent, as can be seen in the bizarre choice of collective nouns, such as *piquería* and *ballestería*, used to exhort the help of saints and seraphim. The sense of increasing chaos is produced both by a change in the features of the Abbess's discourse and by the accompanying actions. The Abbess, who initially conformed to a stereotype of the religious lady, is gradually losing control and with it any semblance of realism, all of which is reflected in her discourse, rather than actions relayed by stage directions.

LA ABADESA

*Que su Reverencia tome asiento y se aplique a desbrozarme los sesos de tantas y tan graves preocupaciones.*

*(Al raboso.)*

*Una almohada, para estos pies cansados de saltar por los paralelos y meridianos con la Santa Palabra entre los dientes.*

*(El sacristán, luego que se ha sentado el obispo, coloca una almohadita a sus pies, pero éste advierte su cola diablera e interroga a la Abadesa.)*  
(18)

Humour here is produced partly by the situation, but also by the irreverence shown in the Abbess's reference to the Bishop's tiredness being due to 'jumping across meridians and parallels with the Holy Word between his teeth.' Unlike humour based on play on words, the present situation presents few problems to the translator.

#### THE BISHOP

*(A una señal del obispo el enano ofrece a la Abadesa su lanza, que ésta toma con mucho acatamiento.)*

*Animo, hija mía, desnudo, oración y perseverancia. Mi bendición os acompaña y sobre vosotras vierte las indulgencias de toda la tropa celeste.*

#### LA ABADESA

*(Alzándose con la lanza en la mano.)*

*Sea como lo dispone vuestra Eminencia. El valor se aloja en mi pecho y toma en él asiento seguro para afrontar el sacrificio. (20)*

The above dialogue between the bishop and the abbess, largely consisting of pious commonplaces, of a more or less realistic nature, changes as the Archbishop goes on to order the dwarf to make chocolate, claiming that is an established custom of his, wherever he is. This signals the beginning of farcical situations and the reduction in the role of dialogue. At this point the dramatic action takes precedence over discourse, as the stage directions increase in proportion to the dialogue, as is discussed later in this chapter. The discourse of other characters is commented upon elsewhere in relation to *lo popular, lo surreal etc.* There is a point in the play, however, where dialogue, we would argue, becomes less important than stage directions, discussed later in this chapter.



#### 4.4. Characters

Characters in Nieva are not realistic. No attempt is made to produce a believable rounded character, acting within a given role and possessing a recognisable *voice*. An analysis of the dialogue of this play suggests, as shown below, that various *voices* are at play within a single role and even within a single utterance. Amongst them, we would argue, is an authorial voice, characterised by linguistic devices at odds with our perception of the character and his or her corresponding idiolect or sociolect. Register often provides a clue to the voice, as appropriacy of tenor and mode of discourse is frequently violated and expectancy defeated. It is to be stressed that the mixing of voices within the play does not represent an artistic shortcoming, but is an intentional device for detracting from whatever degree of realism the characters may possess. It, in fact, invalidates them as real people and reminds the audience that disbelief need not be suspended.

The naming of characters provides the readers with important clues as to their role and regarding the cultural context in which this work is embedded. For this very reason the names present a variety of challenges to the translator:

CEFERINA: *Maja Salida*.

Collins dictionary definition:

*Maja: n.f. woman (or girl of the people), low class woman. (esp. of Madrid).*

This is true in part, but many connotations are missing from this definition. In the context of Spain of the eighteenth century, *maja* would undoubtedly have been used in accordance with the above denotation. Nowadays, it is something of the past which remains alive only in folklore, rather like the 'cockney pearly queen'. Moreover, the educated English-speaking public might recognise the word from Goya's *Maja Desnuda*. The word possesses erotic connotations also the accompanying qualifier *salida*, roughly equating to 'randy', adds to these erotic undertones and makes them explicit, thus giving us a clearer context for our understanding of the word.

In short, the *maja* is a kind of stereotype of the low class 'cockney flower seller', with possible low-life connotations made explicit here by the use of *salida*. The difficulties lie in communicating the cultural context and allowing the translation to retain the same kind of stereotypic meaning. One possible option is to maintain the word in the source language for its stereotypic value, on the assumption that it is already understandable to sectors of the English-speaking public. Of course, the portrayal of the folkloric stereotype is easily achieved theatrically and it could be considered valid to

communicate the concept by means of stage directions.<sup>24</sup> The use of the Maja painting in the sacrifice scene would provide the cultural context and thereby aid understanding of the symbolism. It is justifiable for the translation to avail itself of all the semiotics of the stage in order to transmit the cultural context of the SL.<sup>25</sup> The word *maja* has, therefore, been left in the original.

*LA DUQUESA: (Mujer al fin).* 'A woman after all'. The Duchess is a frivolous stereotype of the upper class coquet. Her discourse is, more or less consistent throughout.

*LA ABADESA: (criatura resistente).* The Abbess is another stereotype, although this time a more easily recognisable one. *Criatura* has a number of possible connotations, naturally dependent on the context. A possible translation would be 'tough old bird', although *criatura* is a more neutral term. *Resistente* has a certain ironic understatement, only obvious from the reading of the play, which is lacking in this English rendering. Accepting that loss in translation is inevitable, and may be compensated for in other areas, we are influenced in our decision by the need to conform to certain target text norms, one of which, in a play of this type, is a kind of comic effect.

*SOR JUANA DE LA COZ (la monja boba).* (Sister Jean of the Groin-kick). *Sor* (Sister) is the title given to a nun. The choice of name, however, has cultural and historical connotations which make it very humorous. The name Spanish mystic poet, San Juan de la Cruz, or that of Sor Inés de la Cruz, are immediately brought to mind because of

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<sup>24</sup> Nieva's past experience as a set designer is in evidence in his use of lengthy explicit stage-directions, which form an important part of the text and allow the stage settings to play an important semiotic role in the production.

<sup>25</sup> v.ch 2.1 for discussion of stage directions written to be performed.



the morphological and phonological similarities, yet whereas Cruz means *cross*, the word *coz* means to kick. She is described, in the kind of grotesque stereotyping characteristic of the Spanish *Esperpento* tradition, as 'foolish nun'. Again the humour derived from literary association is lacking in the target language and the profanity of the violation of the saintly mystic's name is conveyed by the crudeness of the English rendering, *Sister Jean of the Groin-kick*.

*EL CIEGO DE LA GUITARRA DE PINO* (The blind man with the pine guitar) plays the role of chorus, despite the fact that there is another chorus of Madrid people. It is the blindman who comments on the action and also acts as a kind of Master of Ceremonies, opening the play. He is also omniscient and represents, at times, an authorial voice, commented upon in the following analysis.

*EL SACRISTAN RABOSO* - The tailed sacristan, who lives in the convent attending the nuns. Again a grotesque farcical figure.

*EL ALCALDE OFICIANTE* (The Acting Lord mayor). A symbol of authority in the village.

*EL SANTO OBISPO DE ALCALA LOS MARES SECOS* (The Holy Bishop of Alcala de los Mares Secos). The name is again morphologically and phonologically similar to that of Alcala de Henares, a town near Madrid, the seat of an ancient university.

*EL ALGUACIL MAS GORDO* - The fattest town guard. Again a traditional character from a Golden Age play, with certain obvious characteristics, such as a colourful

uniform, representative of order and authority. The dictionary definition might give the equivalent of bailiff or governor, but these would lack the stereotypical elements. Town Crier might provide some kind of period uniformed equivalent, but would lack the authority.

*EL CORO*: The chorus, as has been mentioned previously, has a mock-classical role. The chanted narration of events of a dire nature in dramatic language is frequently interspersed with coarse phrases. The Chorus ostensibly represents the popular elements in the play, yet occasionally represents the voice of the author, as is pointed out in the analysis of discourse. The real commentary on events, at least initially, is provided by the Blindman.

#### 4.5. Neologisms

Nieva's freedom with language and the desire, mentioned earlier with regard to the surreal elements in the play, to break with form and artistic restrictions of all kinds, explain his frequent use of neologisms. The translation of these has occasionally given rise to the invention of a neologism in the TT, in accordance with the decision taken at the outset regarding 'faithfulness' to the artistic intentionality of the work. Neologisms are important in so far as they flag the authorial intention of breaking with conventions.

On occasions, when neologisms have been employed in the TT version, such as in the use of 'serpentiferous' for *serpentífero*, the same parts of speech have been employed. However, The neologism, *sementadores* in *mil sementadores duros* (p27), deriving from *semental*, is translated employing the nonce word 'studding', as in 'a thousand studding stallions', (60) to convey the deviation of the ST.

The neologism *cluequez*, as in *su cluequez reverenda* (25), is rendered as 'your broody reverence', (60) employing a standard adjective, but conveying the deviation in the inappropriacy of the collocation.

Other neologisms are employed for phonological and morphological reasons, such as *besa-miel*, as in, *el embeleso de la besa-miel y el embutido del endiosamiento..!* and the TT version employs the same principle, whereby the lexical items are selected for purposes of alliteration and in order to employ food imagery: 'the sugary sweetness of the syrup, the stuffed serendipitous sausage'. (64)

Nieva frequently converts nouns into adjectives when they are not commonly used as such, as in *apoteosis tripera*. (31) In this instance, the TT version employs the colloquial 'gut-wrenching apotheosis', relying on the unusual adjectivisation for effect.

The role of neologisms in deviation is generally respected throughout, either by substituting one neologism for another or otherwise flagging the breaking with form. The danger of rendering neologism for neologism is that there is a tendency to perceive neologisms in a translation as poor or erroneous renderings of the original. If, however, we consider the literary norms of the TT, we find that the use of neologisms dates back



to Shakespeare and Spencer when it was considered quite normal to employ these.

Although less common in contemporary drama, the nature of avant-garde theatre allows for their use in the TT.

#### 4.6. Surreal and Absurd elements in the *reopera*.

Songs and liturgical chants play an important role in introducing surrealistic elements to the play. The following is characteristic of such songs, employing random images which make no obvious sense: 'Long live Andalusian straw', 'Long live the Holy Christ of the Notary Publics'. The use of the repetitive format *viva* and *olé* are characteristic of the songs of the popular Spanish theatrical tradition, as mentioned earlier. The use of traditional songs denotes the influence of *lo popular*. The violation of the forms of the traditional songs is, however, characteristic of the surrealists' desire to break with tradition:

(The blindman's song, accompanied by the guards doing a sand-dance around the well.)

*Viva el rey Dieciocho,  
vestido de seda amarilla;  
viva la corte de España,  
tan abierta de puertas y balcones;  
vivan el aire de la sierra*

*¿Olé y olé!  
 Viva el esparto de Andalucía  
 Vivan las colas de paloma. (5)*

As in the Sublimes' chants, the content of the above verse is lacking in relevance and coherence. The lack of meaning, paradoxically, relieves the translator of much of the decision-making the need to convey meaning implies. The form is lacking in content, it is, therefore, necessary to translate only the form. The *significance* here lies in this very lack of relevance and coherence and is a characteristically surrealist device. The conventions *viva* and *olé* have been maintained in the TT in order to convey the *popular* elements of the original.

*Viva King Dieciocho,  
 dressed in yellow silk;  
 viva the court of Spain,  
 with open doors and balconies;  
 viva the breeze from the Sierra  
 and the Holy Christ of the notaries,  
 Olé y olé!  
 Viva the straw of Andalucía,  
 Viva the pigeons' tails.*

There are also elements of the surreal in the language used by Mal Rodrigo from the bottom of the well. This well of licentiousness, where the rubbish is thrown and which supposedly threatens the town's morality and affronts its decency, occupied by this mock-ferocious dragon, is the focal point of dramatic action. Mal Rodrigo's threats to the king's authority represent, we would argue, a farcical version of the Golden Age dramas of Lope de Vega, where order is disturbed by immoral events, threatening the peace of the kingdom and the well-being of the citizens.



In order to transmit such vague cultural elements it is necessary to consider the play as the unit of translation and attempt to convey the period atmosphere by the occasional use of archaisms in the TL. Such problems may be considered on the micro level of the single utterance, or, alternatively, a macro level view may be taken. The fruitless argument regarding the size of the unit of translation has long attempted to find a 'right' or 'wrong' answer to this. In reality, the unit of translation varies according to a number of variables connected with both the linguistic and cultural context of the utterance or passage in question.

*Muera la fiesta, cobardones; ¡Amigos de la fatalidad! ¡Españoles de sangre gorda! Que me traigan otra hembra para mi regocijo, si el rey diececho no prefiere que le derribe todas las campanas de su autoridad en le villa de su real asiento. Como a mí me da la gana, los torres crecerán hacia abajo y los españoles vivirán bajo tierra. (5)*

The absurd elements in this particular utterance are the noun phrases *amigos de la fatalidad* and *españoles de sangre gorda*, containing seemingly irrelevant epithets, and the threat to turn the towers upside down and cause the Spaniards to live beneath the earth. The action, though, is reminiscent of Golden Age drama where harmony is disturbed and the world 'turned upside down'. There is also a reference here to another work by the same author entitled Los Españoles Bajo Tierra, with its allusions to the repressed sexuality of the period in which it was written.

The sacristan's song,

*"En un valle caliente  
hay un convento  
y en el convento  
hay treinte prisioneras del Rey Herodes,  
triente pajaras ciegas,*

*trienta cebollitas verdes.*

*Hay un convento  
y en el convento  
un sacristán colorado  
un entierro con muchas luces  
y una torre llena de paja... " (p6)*

appears to be almost unrelated to events and wholly irrelevant to what is going on. The phrases "thirty prisoners of King Herod, thirty blind birds, thirty green onions.....a tower of straw" bear no relation to the situation and provide a further example of surreal language. Such utterances lack the characteristics of the speech act, as outlined by Searle (1969), and may consequently be translated literally as the form represents the intentionality. The purpose of these utterances is wholly artistic and they consequently lack the propositional content necessary for a meaningful speech act. The form, therefore, acquires greater importance, precisely for its lack of content.

In the following lines, the blindman with the pine guitar takes the role of the *Sublimitas* with his inane chant:

*Chulo entrañado del mundo,  
cuerno que traspasa la tierra,  
braguetón de ciclones,  
ciclotón del bulle bulle,  
locas las traes con tus caprichos,  
Don Juan sin cuerpo,  
baño del escándalo... " (p9)*

The repetition is again reminiscent of a litany, although once again content defies form, as the evocations are nonsensical and the lexical items employed, while

syntactically in a rational order, are in fact devoid of obvious sense. The lines do, however, contain words which evoke certain low-life associations:

*Chulo*: a 'spiv' or 'pimp'

*Cuerno*: horn, the phrase 'poner los cuernos' is similar to the Shakespearean 'to cuckold', although in current colloquial usage in the SL.

*Braguetón* is a womaniser, as is *Don Juan*

Other words, such as *ciclotón* are used for their rhyming value only. The intention here is to evoke, in the form of a litany, nonsensical insults in a way normally associated with liturgical supplications. Unusually, the ultimate aim of the text is not to make sense, but rather the reverse; to write nonsense in a suggestive way.

It is first of all useful to find in the TL words with similar sexual connotations, such as 'randy beast'. 'Horn', (*cuerno*) might be employed in English for its phallic symbolism, although the explicit connotations of the original are lost.

Many of these earthy expressions exist in Shakespearean English and might, justifiably, be employed in order to evoke the period atmosphere of the play. 'Whoremaster' comes to mind and is arguably appropriate, given the Golden Age influence on the play, in evidence in the characterisation. What is also apparent here is the free association of Freudian psychoanalysis, mentioned in connection with the surrealist manifesto in the previous chapter. The stage instructions actually state that the



blindman is singing. Nevertheless, the liturgical aspects are less obviously evident in the TL and a religious chant would help stress them:

#### THE BLINDMAN

*(chanting)*

*Randy beast from the bowels of the earth,  
horn that towers over the world,  
cyclonic whoremaster,  
raging whirlwind who drives women mad,  
Bodiless Don Juan,  
scandalous wretch.*

The Sublimes' chants, employing the form of the liturgy, are devoid of obvious meaning or sense and the objects of veneration and exhortation are random and disconnected, as the following example demonstrates:

#### LAS SUBLIMITAS

*¡Gloria a los encajes de Bruselas!  
¡Gloria a los panales del Gólgota!  
¡Gloria a los castillos del Loire! (10)*

Evidence of the surreal is also noticeable in the following vacuous chant, violating the traditional form, as in the previous litanies.

#### EL CORO:

*Aquí llegan las suaves, las conservadas en almíbar, las que escurren el bulto de su cuerpo. ¡Qué blancas, qué pulcras, qué lentas...! (10)*

The sinister *esperpento* use of adjectivisation is in evidence in the funereal images employed, again combining the avant-garde with Spanish literary tradition.<sup>26</sup>

LAS SUBLIMITAS *¡Gloria a la lluvia de mayo! ¡Gloria a las perdices de la vía Appia...!(p10)*

The above chant employs non-standard deviation in its exaltation of pheasants on the Via Appia and rains in May.

EL ALCALDE OFICIANTE

*Ese es un buen ejemplo, señoras. Contra el drago disoluto toda España debiera vivir encajonada y en paquetes para la salvación. Pero somos mala carne llena de zozobra marítima en esta tierra sin agua. (p11)*

The exaggerated and bizarre nature of the suggestions made, (that all Spain should be tied up in packages and boxed in order to be saved from the dissolute dragon), suggest influence of the absurd. The symbolism, however, is that of suppressed sexuality. This represents an interesting example of how an apparently inane utterance may contain symbolism important for an understanding of the text.

LAS SUBLIMITAS

*(siempre a coro.)*

*Santo plato de verduras que adornan las escaleras del altar, ahuyenta de nos la carne con sus despellejados estremecimientos, danos la salud del brecol y el pudor de la alcachofa, que viva nuestro espíritu en cuaresma y nuestro cuerpo en verde letargo...(p 12)*

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<sup>26</sup> The *Esperpento* was a form of theatre created by Valle-Inclán, whose influence on Nieva is mentioned in the previous chapter.

The Sublime's prayer to the 'Holy Plate of Broccoli' is again surreal and represents a violation of the liturgy, the violation of form and the desire for total freedom of expression being axiomatic to surrealist aesthetics.

SOR JUANA DE LA COZ

*(Cae y se revuelca en trance de gritos y quejidos taladrantes.)*

*¡El demonio y la carne!... ¡Los enemigos de la mujer!... ¡Los cuatro jinetes del Apocalipsis!... ¡Como tú me deseas!... ¡El acorazado Potemkin!... ¡Roma, ciudad abierta! (p 15)*

The use of repeated outbursts is further exaggerated as Sister Jean falls into an hysterical trance. These outburst are now totally lacking in coherence, bearing no connection to the dialogue so far, and as such are surreal. The disjointed nature of the exclamations ("The devil and the flesh!, the seven horsemen of the Apocalypse! Rome, a city of open spaces!", etc.) are again reminiscent of the free association techniques of Freudian analysis. The Surrealist's interest in psychoanalysis<sup>27</sup> is well-documented and these incoherent utterances also comply with the breaking with form, which was an integral part of their philosophy. If the TT is to reflect this philosophy, the need to maintain these elements is important. Clearly, on a micro-level, it would not be necessary to be *faithful* to the exact form of each utterance, but rather to allow our understanding of the authorial intentionality to influence decisions taken on a macro-level.

LAS SUBLIMITAS

*(Alteradas.)*

*Tremendas jaculatorias, diabolessas máximas. ¿Qué mala magia la inspira? ¿Quién le ha puesto en la cabeza tan confuso repertorio? ¡oh!, cuánto espíritu malo acecha entre el rebaño de los negros. (p15)*

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<sup>27</sup> This is mentioned in chapter 3 of this work which examines the Surrealist Manifesto of André Breton and other works on the subject.



The Sublimes' later outbursts are in a similar vein, although somewhat less incoherent. The following utterance, however, is entirely consistent with the previously mentioned Freudian influence:

SOR JUANA DE LA COZ

*¡Chaplin, Lubich, Abel Gance! ¡Buñuel, Losey, Von Stroheim! (15)*

Again the utterances are completely incoherent and irrelevant to the preceding dialogue, providing further evidence of surrealist influence derived from free-association techniques.

LAS SUBLIMITAS

*Cuántos, cuántos la avasallan y la tienen malmolida. (15)*

CEFERINA

*(Que entra intempestivamente con una cesta de huevos colgada del brazo.)*

*¡A los buenos días! Aquí están las diez docenas de huevos que su maternidad me había encargado. Pero... ¿qué es esto? El Mal-Rodrigo no da descanso. ¡Vaya un asedio! Y qué tela tan bonita ha sacado esta mañana. Esto es seda original venida de algún ultramar reciente. Son cosas que no se encuentran en el comercio. (15)*

The mundane greetings of Ceferina provide a contrast to the previous incoherent utterances and represent a kind of structuralised incoherence, whereby one character's actions bear little relevance to those of another or to events in general.

CEFERINA

*(Bailando endiablada.)*

*¡A la jota, jota de la mala pata... A la pata, pata de la poca lacha... A la lacha, lacha de la mucha panza... A la panza, panza de la mala jota...! (16)*

The above utterance is devoid of meaning and relies on the phonological devices of alliteration and repetition for effect. The TT version employs alliteration and uses verbs of movement, such as 'hop', 'skip' etc., as *jota* is a dance and *pata* a leg.

#### LAS SUBLIMITAS

*(Formando un cuadro numantino.)*

*¡Entierro de los vientos, guiso de agujeros, salida sin entrada, historia sin moraleja...! (15)*

The above is a further example of the surreal chant of the Sublimes and confirms their role as parodies of religious figures and their discourse as parody of religious discourse.

#### 4.7. Stage Directions

Nieva's stage directions form an important part of the text and detract from any possible interpretation of the *reopera* as a 'text-to-be-read', confirming it as a 'text-to-be-performed' (Bassnett-McGuire 1985). This becomes increasingly evident in the final stages of the play when, at certain points, the stage directions occupy more space than the dialogue. The directions consist of what we refer to as 'standard' or 'overt' stage directions, written by the author, and 'covert' stage directions, whereby characters make commentaries on the performance and thereby give details about the stage sets and the actions. The following is an example of a standard set of directions:

*(El pueblo, embestido y mimético, se ríe de Ceferina y la escarnece. Explosión de alegría. La orquesta se raja en apoteosis. Las gentes desalojan sus capas y sombreros macizos y salen debajo de ellos vestidas de fiesta a bailar el fandango. Sale el sol por donde se fue y todo se restaura.) (11)*

The above stage directions are characteristic of the author in that they provide detailed suggestions for the action and costumes.<sup>28</sup> Nieva's use of stage directions is reminiscent

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<sup>28</sup> As has been pointed out in chapter 2, Nieva's prologue, inviting a free interpretation of the *reopera*, is at odds with his stage directions, which are quite explicit and lengthy.



of Samuel Becket's work, in which every gesture, inflection and movement is of importance and preset in rehearsal.<sup>29</sup> The following directions exemplify the difficulties these must present for the producer, in their imaginative and *efectista*<sup>30</sup> requirements:

*(Baila Ceferina, bailan todos, pero en lo mejor del baile surge del pozo una excrecencia espantable y fálica, con verrugas estallantes, como balones repletos de humo. Todos gritan y salen en confusión. Llueve confetti colorado.) (12)*

Here Nieva's stage directions are fantastic (green phallic excretions surging up from the well, replete with balloon-shaped warts) and have an important semiotic function in the play. There are various examples of these fantastic directions, such as the following:

*(La luz aumenta, vibra el aire con ondas zumbonas y bemoladas. Por encima del muro del jardín surge y se despliega el tapiz increíble, con sus drapeados fastuosos. En medio de él chisporrotea la dragonada enseña de Priapo todo lo esquemática o descriptiva que se desee.) (14)*

The above stage directions, containing instructions for a huge tapestry to be dropped over the convent wall with a graphic illustration of Priapus in the centre, form an integral part of the text, providing textual clues to the performance. The importance of scenography in this work is also illustrated by the following:

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<sup>29</sup> John Calder comments (*A Samuel Becket Reader*. London: Picador 1983) that Becket, by his demands for word-perfect line reading, brought into existence a new kind of actor. Nieva is similarly demanding with regard to stage direction and settings.

<sup>30</sup> *Efectista*, as the name would indicate, refers to the exaggerated effects required by Nieva's directions and is used to refer to this type of scenography.

*(Prisas y tropezones en la orquesta. Todo se oscurece y sólo queda un astro rojo planeando sobre los espectadores. Inmediatamente, de la negrura, surge el coro, el pueblo de Madrid en romería, con guitarras y cestas de merienda. Un alguacil en cabeza con una pancarta que dice: POR ALLI SE VA A LA BOCA.)* (22)

Stage directions are again explicit, this time concentrating on lighting and colour. The dramatist is clearly intent on exploiting all the paralinguistic means at his disposal to complement the text.

Bassnett-McGuire (1985), in her article on the translation of theatre texts, comments that the theatre translator faces problems unlike those involved in other texts, pointing out that the principal difficulty resides in the nature of the text itself. There exist plays which are deemed to be 'literary', whose authors themselves discount performance, but, as Bassnett-McGuire points out, "the theatre translator is being asked to accomplish the impossible - to treat a written text that is part of a larger complex of sign systems (...) as if it were a literary text" (1985:87)<sup>30</sup>.

Bassnett-McGuire, in the same article, asks whether a performance text is "latent or embedded or positively existent in the written text". With reference to the *reopera*, we would argue that the latter is the case and cite the complexity and length of the *overt* stage directions, coupled with *covert* stage directions, uttered by characters in performance, to support this view. The implications of this for the analysis and understanding of the play

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<sup>30</sup> The complete quotation is given in chapter 2 of this work.

and for its reconstruction are that we have to understand the dialogue in the context of performance and this context is largely provided by stage directions, of various kinds.

In, approximately, the first half of the play the blindman takes the role of chorus and comments upon the dramatic action. Much of his commentary has implications for performance and, as such, constitutes 'covert stage directions'. In the following directions, the phrase 'as you have seen' could be interpreted as the blindman's recalling, for the benefit of the audience, past events. If this were the case, the description need not constitute stage directions. If, on the other hand, the events were to be performed, the demands made on the set designer would be enormous. Such demands on scenography are not unusual in Nieva as further examples given below demonstrate.

#### EL CIEGO

*Como habéis podido ver, al señor pueblo de Madrid se le ha cortado el regocijo. Por confiado y embravecido, a la bestia ha exasperado, y como el Mal-Rodrigo tampoco ahorra en desplantes, de un soplo ha fundido todas las campanas del contorno y ha abierto una brecha volcánica en plena Puerta del Sol. El don Juan de aire y de fuego presume de enamorado. "¡La quiero!", dice, arpegiando con la voz de mil pájaros pintureros. "¡Que me la traigan!", dice con los chapoteos del Tigris y con los gorgoteos del Eufrates. ¡Qué desate de elementos! Los rebaños de la sierra bajan balando requiebros y el viento del Guadarrama silba cada proposición...! La ciudad, escandalizada y cobarde, corre buscando un remedio. Los piadosos censores se vendan los oídos, ha presentado su dimisión el ministro de la Decencia. El rey Dieciocho ha decretado la vista baja porque las nubes arrolladizas forman figuras nocivas para la salud. Y yo nada mejor puedo hacer que traeros hasta un rincón del convento para mostraros al detalle la continuación de la tragedia. (12)*



The importance of these for performance should be borne in mind when translating as the dramatic text is a text-written-to-be-performed and the stage directions perform an important semiotic function.

From page 21 onwards the Blindman loses his role as the omniscient chorus and begins to sound like a record stuck in a groove. The amount of stage directions, however, increase around this point. On page 22, stage directions are followed by the chorus commenting upon the action, followed, in turn, by further stage directions. The dialogue, which follows on page 23, consists of one or two line utterances.

The way in which the author's own stage directions are complex and detailed, complementing those of the Master of Ceremonies, is shown in the following:

*(Efectivamente, ha cambiado la escena y se presenta el jardín de acelgas de las madres Sublimitas. Se retira el ciego y salen las monjas en fila india, el sacristán raboso delante llevando un palo en cuyo extremo hay colgado un sonoro triángulo que tañe con medida. La procesión forma un semicírculo. Todas las monjas llevan cofias de formas lineales y rígidas que les cubren casi por completo las caras. Para que las descubran han de tirar de un cordón que enrolla mecánicamente un paño del tocado. Vienen la Duquesa y la Abadesa. La primera con una acomodación del traje monjil que no le oculta la cara como a las demás.)(12)*

#### EL CIEGO

*Y lo bueno llega ahora. Como veis, el Mal-Rodrigo no quiere dar tregua. En esto habrá de mezclarse el Santo obispo de Alcalá de las Indias, que viene a parlamentar con la Abadesa. Es un obispo santísimo que sufre de tercianas crónicas y viene de una de aquellas provincias sobrantes del otro lado de los mares, poblada de negros con cabeza de chino; gente pagana que se bautiza con chocolate a espaldas de la Iglesia. Con su valor misionero acaso traiga un refuerzo al sonajero pecho de la Abadesa. Todo*

*se prepara para su llegada y aquí está el sarasa improvisando un estrado en medio del huerto potajero del monasterio.*

*(El ciego se retira; la luz aumenta.)*

The Blindman's discourse, despite the intimacy of the initial 'como veis', shows characteristics of the spoken, rather than the written channel. The lack of vacillation, despite the length of sentences, the structured nature of the utterance and the use of erudite lexical items, such as *parlementar*, create the sensation of authorial intervention. This authorial voice is ever-present in the two sorts of stage directions previously outlined. The implications for translating reside in the importance of viewing the play as a text-to-be-performed, in which dialogue, on many occasions, is subservient to dramatic action, indicated by stage directions.

#### 4.8. Discourse and *lo popular*.

Intertextual elements in the *reopera* are varied and it is frequently difficult to categorise them with total certainty, as they blend in Nieva's work to form an original work of art. The popular elements, deriving from a Spanish literary tradition, frequently join with the avant-garde elements in the play to form what might be called *Nievian* language, characterised by the use of neologisms, street language and erudite discourse. There exists, therefore, considerable overlap between those features of the dramatic discourse we attempt to outline here.

Certain characters, however, are identified by their frequent use of colloquial or street language, recognisably deriving from *lo popular*. *El aguacil más gordo*, for example, is consistent in his use of rough street language, intermingled with *oficiales*,



and the same pattern of discourse is used throughout, representing the *popular* elements in the work.

*¡Maldito sacristán! ¡Pueblo incivil y disobediente! Mil veces te he dicho de no vaciar las inmundicias del convento en ese pozo tormentoso. Eso es echar aceite al fuego. Te voy a retallar ese rabo que es el escandalo mayor de la monarquía. (5)*

The language used by the sacristan is similarly colloquial, characterised by informality and the use of the familiar *tu* form, although his impertinence is expressed in his mockery of the *alguacil*, rather than with abusive language, when he responds to his threats (to cut his tail off, to hang him upside down etc.) with the following reply:

EL SACRISTAN

*¿Y con eso me amedrentas? Eso es lo que a mí me gusta. ¡Cachondeo! ¡Cachondeo! (6)*

"Is that supposed to be a threat. There's nothing I'd like better. Chance'd be a fine thing!"

The use of *cachondeo* is not in keeping with a religious figure, being coarse and colloquial. Later, the Townguard addresses Ceferina in similarly 'low-life' language:

EL ALGUACIL MAS GORDO

*Cierra el pico, Ceferina. Empezaste de heroína y vas a terminar en la perrera. (11)*

The townguard's language here is also coarse, in keeping with the character, who uses both vulgar language and *oficiales*. The abrupt change of tenor, from the solemnity of the chorus, preceding it, to the popular street language is a characteristic

Niebian device used for comic effect. *Cierra el pico* roughly equates with 'shut yer face' in degree of offensiveness.

The chorus of Madrid people frequently employs colloquial language, interspersed with erudite expressions representing authorial intervention. Here they expressly portray the Duchess as belonging to the tradition of *lo popular*:

EL CORO:

*Sí, sí, ésta es la Duquesa bribona, más blanca que la cal, la que anda sobre patines y lleva una mariposa en la cabeza; guapa, tonta y popular, como las españolas de postín. (9)*

Elements of the *popular* are in evidence in the chorus's portrayal of the Duchess as a frivolous, stereotyped society lady, parodying of social superiors being a characteristic of the genre. This is seconded by Ceferina, whose character is also associated with the popular elements in the play.

CEFERINA *¡Cómo presume de pura esa estúpida vaporosa! ¡Muñecona, gorrilinda, perimondada! (11)*

The above lexical items, *muñecona*, *gorrilinda*, *perimondada*, are in accordance with the *popular* tradition i.e., colloquial and amusing in their impertinent references to someone of high social status. The use of *castizo*<sup>32</sup> speech is characteristic of the *maja*, as shown in the following utterance:

CEFERINA

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<sup>32</sup> *Castizo* is a characteristic, lower class Madrid dialectic.

*Bailaré yo, y que me estruje una mala sierpe...  
(Escupiendo en el pozo.)*

*Aunque tú no me devores, no me faltará un hombrachón de los que escupen fuego por el colmillo, lo que se dice un español corriente. (12)*

The idiom *escupir fuego por el colmillo* might be rendered as 'to shoot one's mouth off'. The Spanish idiom, however, has sexual connotations absent from the English. Frequently such earthy idioms lose in translation as an English language version of equivalent force is invariably more offensive. This is a question of norms of social acceptability, which vary from culture to culture, (Bassnett-McGuire 1991:27) although the question of loss is frequently overstated, as where there is loss there may also be gain.

#### CEFERINA

*(Se pone un par de huevos en el descote y luego se los aplasta con sendos azotes.)  
¡Así soy yo! ¡Capón, me las pagarás! Con mi boca de margarita soy capaz de desollarte el rabo. (16)*

The use of vulgar insults, such as, *capón*, and the salacious threat to cut off his tail, *rabo*, have sexual connotations in the ST, showing the influence of the *sainete* and the *entremés*.

#### EL SACRISTAN:

*Ah, ya veo que me has oído. Anda, salado, a ver qué me regalas. Sabe que por ciertas frivolidades puedo poner mi rabo al cobro. (17)*



The sacristan's language is salacious and suggestive, as in the above, *poner mi rabo a cobro*, (to sell his tail), tail having sexual connotations in the ST.

The blindman's song, employing random images for no apparent reason: 'Long live Andalusian straw', 'Long live the Holy Christ of the Notary Publics', shows elements of the avant-garde. However, the use of the repetitive format *viva* and *olé* are reminiscent of the popular songs of the *sainete*, as we mentioned earlier in this chapter.

*(The blindman's song, accompanied by the guards doing a sand-dance around the well.)*

*Viva el rey Dieciocho, (...)<sup>33</sup>*  
*¡Olé y olé!*  
*Viva el esparto de Andalucía*  
*Vivan las colas de paloma (5)*

In contrast to the Sublimes' chants, where the form of the litany is adopted, the song takes the form of a popular song, *la copla*, with the conventions, *viva* and *olé*. The popular flavour of the song is best maintained by retaining these features in the TL version, although this depends on the translator's objectives regarding the translation of cultural aspects. The choice of transferring these socio-cultural elements is one whereby the translator has to decide between what Aalton<sup>34</sup> refers to as *naturalisation*, or the

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<sup>33</sup> The complete quotation is given in 4.6., where the surreal aspects of the song are commented upon.

<sup>34</sup> Aalton, (1993) points out that, with reference to the translation of Irish drama to Finnish, the choice between maintaining the 'otherness' or replacing it with *Finlandisations* varies from one period to another. The 19th century translations of Shakespeare into Finnish invariably chose to *naturalise* the setting.

transmission of the *otherness* to the target language culture. Our decision not to *naturalise* the *reopera* stems from a belief that certain plays are particularly *culture-bound*, that is to say that the cultural context is vital to an understanding of the play. We would argue that *Pelo* is such a play, as the political and social background in which it was written are important to an understanding of the theme of suppression and of the stereotypes employed. This is not to say that *naturalisation* might not be attempted, but we found it unnecessary to employ this technique.

In the following utterance, el Ciego, in reply to the Alguacil, employs the same colloquial language in which he has been addressed

*A ver si te callas, ciego verboso (...) lárgate, si no quieres probar el sello de mi mano.*<sup>35</sup>

*Vete a la mierda, Pilatos, zapatón de la justicia; Haz tu guardia y no quieras encaramarte sobre este ciego modesto y más decente que tu madre.*(4)

The tendency in colloquial Spanish, when using abusive language, to refer to the mother in less than flattering terms is somewhat difficult to translate literally into English. The proposition, however, is clear; *Vete a la mierda* roughly equates in degree of offensiveness to 'piss off'. The reference to the mother, however, is highly abusive in the SL, thereby potentially justifying a stronger term in the TL to achieve a similar

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<sup>35</sup> The full quotation is given in 4.6

effect.<sup>36</sup> The focus on the speech act, with its corresponding analysis of propositional content and illocutionary force, would theoretically justify this usage if we considered that the intention was to offend, in which case we might opt for something considerably more offensive in the TL. *Zapatón de la justicia* refers colloquially to the 'big boot of the law', roughly equivalent to the TL term 'strong arm of the law'. The Townguard's tirade against the Blindman employs terms of abuse, in accordance with his character, and in characteristically *popular language*:

*EL ALGUACIL MÁS GORDO.*

*Maldito seas, tropezones, ojos de albondiga! Retírate a tu cachera de tinieblas y no provoques a los alguaciles del rey Dieciocho, que Dios guarde. (5)*

"Withdraw to your gloomy cave and don't provoke King the Eighteenth's guard, may he rest in peace"

*BLINDMAN:*

*Cállete, garañonazo, que ya te la traen (7)*

"Shut yer face, lecher, they're bringing her now"

The use of abusive language continues, again showing the influence of the *popular*. The fact that the M.C. is blind is reminiscent of the Spanish picaresque novel, *Lazarillo de Tormes*<sup>37</sup>, although Nieva's work is *mock-picaresque*, lacking the vitriol of the original. The tenor changes slightly with the use of the more formal *retírate* as opposed to the more familiar *véte*.

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<sup>36</sup> Bassnett-McGuire (1991:27) makes a similar comment on equivalence of effect regarding the translation of the idiom *porca madonna*.

<sup>37</sup> Published anonymously in 1554, *La vida de Lazarillo de Tormes y sus Fortunas y Adversidades* constituted a satirical attack on Spanish society. The young protagonist is in service to a cruel blindman.



Ceferina maintains the vulgar language of the *popular*. Earthy images, referring to the 'guts rumbling' are characteristic of this genre:

CEFERINA

*No podrá, o no es mujer. Tan cogida está como yo y el vientre la resuena por dentro. (p10)*

Although various of the characters mentioned in this section are characteristically *popular*, we do not intend to imply that each character is relevant to only one aspect of the work. References to characters and dialogue are occasionally repeated under different sub-headings, according to the utterances in question.

#### 4.9. Concluding remarks

The decision not to *naturalise* the play and the desire to relay in the TT those elements of Spanish culture which represent the author's aesthetic have a number of implications for the translation of the elements of the *popular*, outlined above, which have emerged from the analysis of dramatic discourse.

The decision to respect the authorial intentionality, as regards the artistic aims of the play, has implications for the reproduction of these aspects of the target text. The need to convey the *popular* elements requires us to employ similarly earthy and idiomatic expressions in the TT. The translation of colloquial expressions presents a variety of difficulties. The rendering of these expressions in English may be problematic as there exists in Spanish a wealth of expressions which are powerful and earthy, without being socially 'unacceptable' or 'offensive'. Many of the expressions employed in the ST might not give offence, although many certainly would. There are occasions when to achieve a similarly powerful effect in the TT, however, would require us to employ expressions which may shock in the TT. On the other hand, the parodying of religious figures would have greater shock value in the ST. By considering the work in its entirety as a macro-

function, and by deeming 'shock effect' to be part of authorial intentionality, we can justify allowing one aspect of the discourse to compensate for the other in achieving an overall effect which is appropriately irreverent.

The findings concerning the surreal and absurd elements in the play also have implications for the production of a target text in accordance with the artistic intentionality of the author. We may consider, for example, that, where the conditions for a meaningful speech act are not met, the requirements for which are outlined in chapter 1 of this work, the absence of meaningful content justifies us in translating the form. The above examples of TT versions of the chants and songs show that, in these circumstances, the translation of form involves no loss of meaning as the very lack of meaning is in itself significant. A constant danger of translating is that of imbuing the TT with meaning not found in the ST. Clearly, this danger can only be overcome by close textual analysis and by bringing to this a background knowledge of the genre.

It is perhaps worth noting that the stage directions, rather than the dramatic discourse, set the final scene of the play. These have dominated in the final scenes and, if we equate stage directions with action, which is invariably the case with Nieva's directions, we conclude that this text is a performance text and that the translation must take this into account by considering a *target public* as well as a *target reader*. Nieva's work in performance is noticeable for its scenic effects, including music and dancing, which frequently overpower the dramatic discourse. The translator is necessarily concerned with



the text and rarely involved in production. Nevertheless, the awareness that the nuances of discourse are secondary, in a play of this type, to the overall *efectista* production is something which allows a certain freedom in the TT version. Realist drama, with meaningful dialogue and rounded characters would demand greater fidelity to the word on the page than the reopera.

In so far as the use of neologisms represents deviation, we must recognise this in the TT version. We must decide whether to employ neologisms in the TT version, or merely to flag the deviation by other means, examples of which may be seen in section 4.5., as to ignore them completely would be to detract from the uniqueness of Nieva's writing.

Conclusions which may be drawn from this analysis are as follows:

- i. The suggestions made in the preceding chapter regarding intertextual influences from the European avant-garde movements of the twentieth century and, in particular, the surrealist influences are confirmed. It must be stressed that Nieva is not a surrealist as such, but has been influenced by techniques and by the philosophy of surrealism.
- ii. The intertextual influences deriving from a Spanish literary tradition, in particular *lo popular*, is in evidence in his writing.

iii. That stage directions, both direct and indirect, play an important role in the play.

iv. That stereotyping is employed in the naming of characters and in their portrayal and that these characters are not rounded realistic characters, something which is evidenced by their discourse and by authorial intervention in this.

The implications of the above conclusions for translating have been commented upon throughout. Nevertheless, although these are too numerous and varied to summarise in detail, it is possible to conclude that, given our initial decision not to 'naturalise' the play, but to maintain its cultural and social context, the following aims, regarding the TT version have been reached as a result of the analysis.

To attempt to maintain, in the TT, aspects of the text which express the author's intentionality by:

1. employing earthy and vulgar expressions which represent *lo popular*.
2. translating the form of those expressions which do not fulfil the requirements of the speech act, as defined in chapter 2, which represent the avant-garde aspects of the work.

3. recognising the importance of neologisms as part of the authorial intentionality and to flag these, in the ways previously outlined in section 4.5.
4. conveying aspects of Spanish culture and society, where relevant.

The above explicit aims are, naturally, complemented by the broader aim of attempting to do justice, in a variety of ways, to the work of the author. Any success we may achieve in this task will be due to the work of analysis which preceded it.



## Chapter 5 - The Academic Text

### 5.1. Introduction.

The following text is an academic paper on the history of economic thought, entitled La Ética y la Económica en Spinoza, un Antecedente de Adam Smith. It represents a text type with different characteristics from the literary text, which can be summarised as follows:

The academic paper is an example of a text written to be read. The fact that it may be read aloud does not alter the fact that it employs the written channel. It has a coherent structure with an introduction and a conclusion and with structured paragraphs linked by discourse markers. The tenor is formal and the author's intention is to present an argument in a coherent way. The length of discourse is a factor which has implications for coherence and cohesion, as the overall structure is necessarily affected by the need to deliver a coherent thesis in a relatively short space of time. One of the distinctive features of the academic text is the use of citations and footnotes.

One of the difficulties presented by a text in a Romance language, such as Spanish, is the need to distinguish Spanish formality markers from English. A distinguishing characteristic of the academic text in English is the high degree of formality, commonly expressed by the use of Latinate structures and lexical items<sup>38</sup>. This text shows a higher degree of formality than the previous text, which employed dramatic discourse, notable for its informality. Care must, then, be taken to recognise the Spanish formality markers and to transmit these to the English text in such a way as to retain the formality of tenor.

The following analysis of the text uses sentences, paragraphs and groups of sentences irrespectively to show sentence level features, as well as other textual features, such as connectives used in anaphoric and cataphoric reference, not in evidence at sentence level, but which show textuality and enable us to analyse speech acts as they occur in context. These cohesive devices provide evidence of the networks of causal relationships which link various language functions to form the major text type of argumentation.

The approach employed here is based on Bell's criteria for judging *textuality* (1991:193), complemented by the contrastive analysis approach outlined by Toury (1980). The target text is reproduced in its entirety in the index and passages used for purposes of analysis are shown without footnotes, for clarity of presentation and ease of reference<sup>39</sup>. The quotations employed throughout are Spanish versions of the English originals written

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<sup>38</sup> In the absence of research based on a corpus of academic texts in the TL, we cite Quirk et al.(1972) for characteristics of formal English.

<sup>39</sup> Footnotes are omitted as the text has been divided for purposes of analysis and the footnotes, containing references to bibliography, are irrelevant for this purpose.

by the Scottish moral philosophers and, as these are quoted from the original source texts, they are commented upon in the following analysis only as regards their intertextual function <sup>40</sup>.

## 5.2. Structural characteristics of the text:

The text follows the normal conventions of the academic text, having a title and an introduction, which introduce the reader to the hypotheses presented in the work, mentioning the authors whose work provides the academic basis for these.

The work consists of seventeen pages of text plus a page of works cited within the text and footnotes, employing standard norms of citation. The body of the work states the main arguments, and the conclusion, approximately one and a half pages in length, summarises these arguments in support of the hypothesis outlined in the introduction.

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<sup>40</sup> The particular nature of intertextuality in the academic text is commented upon later in this chapter as it is of particular relevance to this analysis. We contend that the intertextual function of the quotations in the text differs from *intertextuality* as normally understood.



The macro-function <sup>41</sup>, to employ Bell's term, is one whose propositional content is that of argumentation, whatever micro-functions are employed to this end, such as, definition, narration etc. The text is initially expository in type, although exposition could be seen as a micro-function of argumentation. Snell-Hornby's notion of 'blurred edges' (1988:14) is called to mind as we encounter difficulties in finding exact text types to match commonly used categories.

The use of specialised lexical items with meanings recognisable to a particular speech community, in this case academics within the fields of history of economic thought or philosophy, is a characteristic of this genre.

A comparison of the first line of the ST with the TT provides a useful example of the similarity of form which, because of the high degree of formality of the academic text, emerges in the TT, on account of the latinate structures acting as formality markers in the TL. If the text is to be accepted as an academic paper in its own right in the target language community, it will be expected to conform to certain linguistic norms in order to be recognised as part of this genre.

Given the fact that the use of latinate structures as formality markers in TL academic texts derives from the fact that these were at one time written in Latin, it is hardly surprising that equivalence of form should be noticeable on occasions when the two texts are compared:

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<sup>41</sup> The terms *macro-function* and *macro-speech act* are used interchangeably.

ST line 1:

"El presente ensayo forma parte y es uno de los primeros resultados de un proyecto más amplio sobre los antecedentes del *Homo Oeconomicus* y la ética del capitalismo en el pensamiento de Adam Smith."

TT line 1:

"This work forms part of and is one of the first results of a wider project on the antecedents of *Homo Oeconomicus* and the ethics of capitalism in the thought of Adam Smith."

The introduction, characteristically, employs the language function of exposition to outline the work under discussion, and the use of specialised lexical items from within a particular discipline, possessing, within that discipline, a particular meaning not evident to the lay-person, is another characteristic of academic writing. In the ST introduction we are presented with the term *enfoque positivo* and it is necessary to ascertain whether this term is used with reference to a particular school of thought, or whether its more general meaning is intended. In the former case, it is necessary to enquire into the the term which would be acceptable to the target language community. In this particular instance *positivo* does have a specialised meaning, which, as it happens, takes an equivalent Latinate form. Texts of this nature abound in 'false friends' which present a constant danger of misunderstanding.

The use of *consecuencia no querida* is a further example of a specialised term containing references to a particular philosophy. Again the accepted term in the TL version had to be sought, which was, in fact, not equivalent in form, *unintended consequences* being the accepted target language usage, which differs from the expected *unwanted consequences* in having a specific significance with reference to Adam Smith's theories.

We have referred so far to the 'conventions' of the academic text, yet, if we take Chesterman's view (1993:15) that,

professional norms are the norms constituted by competent professional behaviour. They are, in effect, kinds of production norms, governing the accepted methods and strategies of the translation process,

and apply this to the professional norms of academic writing, it is clear that, by the terms of this definition, what we are dealing with are norms. We, therefore, employ the term *norm* to refer both to the 'conventions' applying to the academic text and to the polysystem norms, referred to by Toury (1980) and discussed in chapter 2 of this work. Evidence of the above mentioned features are provided by the following analysis.

### 5.3. Language Functions, Cohesion and Coherence.

There is a danger, in the analysis of texts, of isolating textual characteristics and leaving aside the underlying coherence and the communicative process as a whole. The following examples show how language functions are inter-connected and, in some instances, formed by the use of cohesion devices and illustrate the way the various micro-functions are linked to form macro-functions within the text. The macro-function of logical



argumentation comprises numerous micro-functions, linked by cohesion markers, connecting various parts of the text. The quotations form an integral part of the text, being linked by the same cohesive devices which show the relationships between the connecting prose.

It is clear from the introductory paragraph (68)<sup>42</sup> that the text type is expositive and belongs to informative and referential textual categories, as shown by the opening statement "*El presente ensayo forma parte y es uno de los primeros resultados de (...) "* (68 line 1).

The following paragraph shows language functions characteristic of argumentation:

**Aunque**<sup>43</sup> Spinoza se preocupó poco de aspectos económicos, **sin embargo** se descubren en su obra un buen número de conceptos que pueden ayudar a los economistas no sólo a comprender lo que podíamos denominar fundamentos filosóficos de nuestra disciplina sino también el papel del marco institucional. Las características de la naturaleza humana que nos dibuja Spinoza guardan estrechas relaciones con las que un siglo después describiría Adam Smith en su Teoría de los sentimientos morales. (68)

The use of the concessive conjunct, *aunque (although)*, conforms to the norms of academic English in that it shows the relational character of the text, giving it *coherence*, another standard of textuality. Similarly, the use of the concessive *sin embargo (however)*, within the same sentence, is an unusual usage which is confined to more complex structures

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<sup>42</sup>Page numbers refer to source text 2 in the appendix. References following quotations encased in quotation marks refer to the source text bibliography given in the appendix. Quotations are occasionally repeated in different sections, as the same quotations sometimes show a variety of textual characteristics relevant to this analysis.

<sup>43</sup> Lexical items in bold represent either cohesion markers or other items commented upon in the following text.

of formal written language, whereby the second concessive is actually used to reinforce the argumentation, this function being realised in the TT with the aid of *do*, as in:

Although Spinoza was relatively unconcerned with economic aspects(...) we do, however, find (...).

The textual relationship between TL and SL is close as the Latinate structures and syntactically complex sentences, which act as formality markers in the TL academic text, coincide with those employed in the ST. *Adequacy* requirements in the ST coincide, to a high degree, with *acceptancy* requirements in the TT.

Es más, una de las hipótesis que se presentan en este ensayo es que el concepto que tenía Spinoza de la ética prepara una posible concepción del capitalismo que derivaríamos de Adam Smith y que tendría a la ética como uno de sus pilares más importantes(...) **pues** "nadie defiende la causa de otro, a menos que crea asegurar con ello la suya propia." (68)

The use of the additive conjunctive *es más* (what is more), to link utterances, coincides with the TL usage and aids cohesion in the text. Again the use of the inferential conjunct *pues* conforms to the TL usage in texts of this type and shows the causal link between different parts of the proposition.

Specific lexical items, with a specialised meaning within the discipline, are employed, such as: line 4, *el propio interés* or *consecuencia no querida* (68) which, if we considered only the form, we would translate as "unwanted consequences", as mentioned previously,

but which is referred to in English texts as "unintended" consequences. Cohesion in the text is shown by the thematic link provided by lexis.

**Lo mismo que** Hobbes, Spinoza resaltar  la necesidad de que las normas contribuyan a la conservaci n y desarrollo de la riqueza. **Ahora bien** si es verdad que encontramos cierto paralelismo entre la  tica de Spinoza y el primer libro de Leviat n, dedicado al hombre, **sin embargo** Spinoza se aparta de Hobbes en sus tratados sobre la rep blica. (68)

*Lo mismo que Hobbes*, line 1 and *ahora bien*, line 3, are examples of additive connectors, the former employed as an anaphoric referent and the latter, being linked to the concessive conjunct *sin embargo*, showing the causal relationships which are common in argumentation.

Su convencimiento de que "la naturaleza humana no se deja sujetar enteramente" (2) **le conduce claramente** hacia John Locke en las atribuciones concedidas al soberano y, **m s bien que** hacia el contrato social, a la convenci n de David Hume. **Finalmente** hay que resaltar la contribuci n de Spinoza a la concepci n de la armonizaci n de intereses a trav s de las relaciones econ micas y la capacidad de la actividad mercantil para canalizar y transformar las pasiones de los individuos a trav s de la competencia. (68)

Anaphoric reference is shown by the use of the possessive pronoun *su* and the pronoun *le*, referring to the subject *Spinoza*, mentioned earlier. The adverb *claramente* is used to reinforce the argument put forward, and the comparative conjunct *m s bien que* again shows the causal relationship between the different parts of the text to be that of argumentation. The use of the summation conjunct *finalmente* denotes the conclusion of one section of the text. Quotations are again taken from the source text, which are used in



the TT to ensure that the same edition is employed throughout in order to maintain coherence.

**De la misma forma** Hobbes, convencido de que la filosofía política debe considerar a los hombres como son en la realidad, emprendió el estudio sistemático de la naturaleza humana. **Pues bien** esta exigencia del enfoque positivo postulada por Maquiavelo y Hobbes es lo que Schumpeter (3), refiriéndose a los filósofos del derecho natural, denomina ética analítica, cuya "tarea primaria" consistía en "explicar el comportamiento real". Este **enfoque** científico positivo, ética analítica en este caso, aparece con más fuerza en Spinoza cuando critica a los filósofos. Comienza en el Prefacio de la parte III de la Ética haciendo hincapié en la laguna en el tratamiento de los afectos, **pues**, (69)

The prepositional phrase used in line one, *de la misma forma*, is a characteristic equative used in the micro-function of comparison, and is an example of the anaphoric reference linking the text. The function employed at this point is that of exposition as the writer gives an historical overview of the treatises whose arguments he pursues, and referential in its dependence on co-textual elements. Cohesive devices, such as the anaphoric referent, *este enfoque*, and the use of the resultive, *pues bien*, to introduce a new concept, are also characteristic norms existent both in TT and ST of this type where the language of logical deduction is employed. The final use of the connective *pues* is a characteristic device employed to integrate the following quotation into the text:

"Nadie que yo sepa ha determinado la naturaleza y fuerza de los afectos"

**En consecuencia**, lo que se propone es un análisis riguroso de la naturaleza de los afectos capaz de demostrar que la pasión debe elevarse a la categoría de virtud, **si bien** para entenderla es necesario partir del cuerpo y no del alma. (69)

The result conjunct *en consecuencia* is again a linking device employed in both SL and TL to demonstrate the logical relationship between different parts of the text. Its use following the quotation again serves to integrate this and shows it to be part of the macro-function of argumentation.

El mayor reproche que **hace** a los filósofos es su falta de realismo. Al no concebir que "la naturaleza no se limita a las leyes de la razón" (5) y pensar que el hombre ante todo es un ser racional, califican de conducta excéntrica o incomprensiva todo lo que no se ajusta a las normas de la razón. Frente a ellos Spinoza **contempla**:

"Los afectos humanos, como son el amor, el odio, la ira, la envidia, la gloria, la misericordia y las demás afecciones del alma no como vicios de la naturaleza humana, sino como propiedad." (69)

Anaphoric reference is in evidence in the omission of the personal pronoun accompanying the verb *hace* in line one, the subject of which is Spinoza, mentioned earlier. Cataphoric reference is shown by the use of *contempla*, which links the passage to the following quotation. The following passages contain further examples of this integration:

Las propuestas de los filósofos nos conducen por una parte a un mundo ilusorio lleno de buenas intenciones donde todo es posible pero nada se realiza y por otra a la realidad de los fenómenos cuya servidumbre no queda más remedio que aceptar. **Efectivamente**:

"los filósofos conciben los afectos (...) que no existe en parte alguna y a vituperar con sus dichos la que realmente existe. En efecto conciben a los hombres no como son sino como ellos quisieran que fueran" (8).(69)

The following example shows quite clearly that the quotation is an integral part of the sentence linked by the subordinator **que**:

Se hace eco de la preocupación de los políticos, -y, **sin duda**, está pensando en Maquiavelo- cuando se refiere a los esfuerzos por prevenir la maldad humana mediante la astucia y la manipulación, **pero su insistencia en señalar que** (69)

**"el camino que enseña la razón para someter y moderar los afectos es extremadamente árido"** (9)

**parece apuntar más bien** hacia la línea de pensamiento que conduce a A. Smith, que hacia B. Mandeville. (70)

The same sentence continues after the quotation as the verb *parece* has as its subject *su insistencia*, which precedes this quotation, acting as an embedded clause. The function of argumentation is enhanced by the use of the reinforcing *sin duda*. The subordinator *pero* introduces the sub-clause, the subject of which is the cited work. This provides a clear example of how the quoted passage forms an embedded structure within this sentence, acting as the object of the superordinate clause and the subject of the subordinate clause. The quotation, therefore, rather than being a co-textual element, again forms an integral part of the text. The use of the comparative *más bien ....que* is used in the micro-function of comparison. Similar linking devices are employed in the following passage:

En la parte 3a de la Ética, que trata del origen y naturaleza de los afectos, Spinoza comienza en la proposición VI afirmando **que** (70)

**"Cada cosa se esfuerza, cuanto está a su alcance, por perseverar en su ser"**

Again the subordinator *que* acts as a linking device between the text and the quoted work, which is an immediate constituent of the sentence.



...con ello llama la atención del carácter general para toda la naturaleza de la ley del *conatus*, aunque la dimensión psicológica que parece que implica la palabra esfuerzo sólo se alcanza en el hombre. (70)

Anaphoric reference in the additive conjunct *con*, combined with the pronoun *ello*, is used to link the ideas put forward in the work cited with those expressed in the text. The micro-function used is historical description, employing the present tense to recount the arguments put forward in the cited texts.

En la proposición VII insiste en que tal esfuerzo por perseverar en el propio ser pertenece a la misma esencia de la cosa. Y en la VIII proposición resalta el carácter indefinido de aquél esfuerzo. **Finalmente**, en la proposición IX, va a precisar más refiriéndose al hombre (70).

The referential nature of the text is, once more, in evidence, as previously-mentioned works are cited. The use of enumerative conjuncts such as, **finalmente en la VII**, ending a series of conjuncts, is a standard norm common to both TL and SL, in the language function of exposition.

"Cuanto más se esfuerza cada cual en buscar su utilidad, esto es, en conservar su ser, y cuanto más lo consigue tanto más dotado de virtud está".

Entiende Spinoza por virtud "la misma esencia o naturaleza del hombre" (13), pero la esencia del hombre o de la naturaleza humana se define por el solo esfuerzo que el hombre realiza por perseverar en el propio ser" (14).

**De ahí que no pueda**

"Concebirse virtud alguna anterior a ésta (es decir al esfuerzo por conservarse)",

**Luego**

"El esfuerzo por conservarse es el primero y único fundamento de la virtud. Pues no puede ser concebido ningún otro principio anterior a él y sin él no puede concebirse ninguna virtud" (15)

**Por consiguiente** obrar conforme a virtud es siempre conservar nuestro ser según el principio del propio interés.(70)

"En nosotros, actuar según la virtud no es otra cosa que obrar, vivir o conservar su ser (estas tres cosas significan lo mismo, bajo la guía de la razón, poniendo como fundamento la búsqueda de la propia utilidad" (16).

Citations and definitions, linked by standard conjunctions of a causal-conditional variety, are again employed in the above: **luego** (hence), **de ahí que** (therefore) and **por consiguiente** (consequently). The prominence of causal relations within the text is a characteristic feature of academic discourse in both TL and SL, indicating the use of the logical argumentative language function, which, we would argue, is the *macro-function* of the entire text. Characteristic of this function is the situation of a conjunct in a main clause correlating with a conjunct introducing a preceding subordinate clause, indicative of the formal argumentation we observe in the text. The above passage also provides a clear example of the use of quotations as an integral part of the syntactic structure of the text.

**Sin embargo**, el posible utilitarismo de Spinoza parece conducirnos **más bien** al tipo de "egoísta amable" de David Hume y a la apelación del autocontrol de influencia estoica que descubrimos en la última edición de La Teoría de los sentimientos morales de Adam Smith. **Efectivamente**, Spinoza piensa **que**

"lo que los hombres consideran como el sumo bien, se reduce a estas tres cosas: las riquezas, el honor y el placer" (70)

Once more, the way in which the conjuncts correspond to each other, the concessive *sin embargo* preceding the reformulatory *más bien*, followed by the inferential *efectivamente*, shows the thread of argumentation linking the text.

**Sin embargo** el ideal estoico de autocontrol parece aflorar más abajo, al advertir que

"nos vemos obligados, antes que nada, a dar por válidas ciertas normas de vida. Concretamente: Disfrutar de los placeres en la justa medida en que sea suficiente para proteger la salud. Finalmente, buscar el dinero o cualquier otra cosa tan sólo en cuanto es suficiente para conservar la vida y la salud y para imitar las costumbres ciudadanas que no se oponen a nuestro objetivo" (20)

**Ahora bien**, si la simpatía por el sufrimiento o la alegría ajenos, **así como** la necesidad de aprobación de los propios actos por los demás van a significar un dato básico para la ética smithiana, **también** en Spinoza el amor propio se ve reforzado por la aprobación de los demás, especialmente si se trata de espectadores ilustrados e imparciales, **ya que** (70)

The above passage shows how the combined use of cohesion markers, the concessive, *ahora bien* (line 1), followed by the reformulatory *así como* and the subjunct *también*, reinforces the logical relationship between different parts of the text. The causal conjunctive *ya que* links the quotation which it precedes to the body of the work.

"Nos esforzaremos también por hacer todo aquello que imaginamos que los hombres -entiendo aquí los "hombres" sobre quienes no hemos proyectado afecto alguno- miran con alegría, y, al contrario, detestaremos hacer aquello que imaginamos que los hombres aborrecen" (21).

**Pero** el amor propio se verá también reforzado por la *acquiescentia sibi*, por la *autosatisfacción* de nuestros éxitos y por el deseo de emulación; esto es lo que deducimos de la proposición XXX y del Escolio correspondiente cuando dice: (72)



The coordinator *pero* links the commentary to the preceding quotation and the use of the deictic *esto*, as an anaphoric referent, links the proposition concerning *amor propio* to the support for this proposition in the quotation which follows:

"Si alguien ha hecho algo que imagina afecta a los demás de alegría, será afectado de una alegría, acompañada de la idea de sí mismo como causa, o sea: se considerará a sí mismo con alegría. Si, por el contrario, ha hecho algo que imagina afecta a los demás de tristeza, se considerará así mismo con tristeza" (22).

**Ahora bien, si la ética se justifica** para la coherencia y la consistencia de la Sociedad, Spinoza, **aunque**, frente a quienes piensan que la virtud consiste en la autonegación y en la renuncia al instintivo amor propio, no duda en resaltar el amor propio como fundamento de toda moralidad, **sin embargo** advierte también que entre las características del amor propio se encuentra la disposición a la cooperación social. (72)

The above sentence typifies the kind of structures we have cited throughout this analysis as characteristic of the function of argumentation: the initial concessive conjunct *ahora bien*, followed by a further concessive subordinator *si*, introducing the subordinate clause, *si la ética se justifica*, is endorsed by the use of a further concessive *sin embargo* to show the logical and causal relations between the parts of the sentence.

**Si bien, como veremos más abajo**, todo proyecto comunitario debe tener como limite imprescindible el propio interés de cada uno de los miembros, **todo ello** implica que el amor propio no tiene que ser necesariamente hóstil y depredador contra los otros, sino el vínculo que los hace imprescindibles (72)

The use of cataphora in *como veremose más abajo*, referring to the following part of the text, further demonstrates the link between quotations and commentary. The textual

features which we have so far documented are in evidence above and throughout the text, as the argumentation based on the cited works continues: the concessive *si bien* links with the anaphoric subordinator *todo ello* to show the logical link between the parts of the sentence, all of which shows the syntactic complexity commented upon in previous passages.

**Aunque** la razón nos prescribe nuestra autoconservación, **también** nos recomienda unírnos a nuestros semejantes, pues el deseo de ser es al mismo tiempo deseo de concordia, **ya que** (72)

In the above sentence, the concessive *aunque* is reinforced by the additive conjunct *tambien* and both correlate with the final causative conjunct *ya que* to link the following quotation to the body of the text.

"Cuanto más busca cada hombre su propia utilidad, tanto más útiles son los hombres mutuamente" porque "los hombre se procuran con mucho que necesitan mediante ayuda mutua y sólo uniendo sus fuerzas pueden evitar los peligros que los amenazan por todas partes" (24).

De nuevo, no es difícil intuir aquí el utilitarismo de Hume, **ya que** es la utilidad lo que impulsa a los hombres a la organización del Estado, *pues* (72)

The formal correlation represented by the causal conjuncts *ya que* and *pues* continues to show the logical relationship between different parts of the text, linking concepts and co-textual referents. The final cohesion marker *pues* links the above passage to the following quotation:

"El hombre que se guía por la razón es más libre en el Estado, donde vive según leyes que obligan a todos, que en la soledad, donde solo se obedece así mismo. Al hombre que se guía por la razón no es el miedo el que le

lleva a obedecer, sino que, en la medida en que se esfuerza por conservar su ser según el dictamen de la razón - esto es, en cuanto se esfuerza por vivir libremente - desea sujetarse a las reglas de la vida y utilidad comunes, y, por consiguiente, desea vivir según la legislación común del Estado" (25).

**Pero** el utilitarismo en la toma de decisiones coherentes con el propio interés, sopesando costes y beneficios, aparece todavía más patente, cuando reconoce Spinoza **que** (72)

*Pero* is used here as a coordinator to compare the contents of the following quotation with the previous one and it also serves to foreground the complex noun phrase acting as the subject of the sentence. The final *que* links the above to the following quotation:

"Aunque los hombre se rigen en todo, por lo general, según su capricho, de la vida en sociedad con ellos se siguen, sin embargo, muchas más ventajas que inconvenientes. Por ello, vale más sobrellevar sus ofensas con ánimo sereno, y aplicar nuestro celo a aquello que sirva para establecer la concordia y la amistad" (26).

**Aunque** en la Ética de Spinoza encontramos cierto paralelismo con el primer libro de Leviatán de Hobbes, dedicado al hombre, **sin embargo** Spinoza se aparta de Leviatán en su tratado de la república. (73)

The emphatic endorsement produced, in the above, by the co-occurrence of the concessive conjuncts *aunque* and *sin embargo* is stylistically undesirable in both SL and TL. Nevertheless,<sup>44</sup> it may be rendered acceptable in the TL by the use of the 'do', as in...*Although in Spinoza's Ethics we find.....Spinoza does, however,...*

Ya hemos visto como el amor propio de Spinoza se pone a disposición de la cooperación social y ello le llevará en el Tratado Teológico-político y en

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<sup>44</sup> A similar phrase has been commented on previously in this section (ST:68).



el Tratado Político a la proclamación de la democracia como mejor forma de gobierno. Frente a los individuos de Hobbes, que, atemorizados por el *bellum omnium contra omnes* son prácticamente arrastrados a ponerse casi de una forma incondicional bajo la protección del Estado, los individuos de Spinoza no están dispuestos a renunciar a su iniciativa. (73)

Again the extra-textual references, in the form of quotations and exposition of the ideas cited from other authors, form the basis for the major text type of argumentation. The formality markers of syntactic complexity and Latin lexical items represent a coincidence of norms in both TL and SL.

**Esta idea**, seguramente que por caminos tortuosos, conducirá a través de Locke, Vico, Montesquieu y David Hume a la espontaneidad del sistema de libertad natural de A. Smith, apartándose de la corriente principal de pensamiento de San Agustín, Maquiavelo, Hobbes -el caso de Mandeville es controvertido- y del mismo Bentham. (73)

Anaphoric reference further demonstrates the relations between two parts of the text with the use of the deictic *esta idea* to introduce the sentence.

"la naturaleza humana está constituida de modo muy diferente. Busca cada uno, sin duda, su propio interés; pero ni es la razón regla y canon de nuestros deseos, en la mayoría de los casos, ni ella decide sobre la utilidad de las cosas, sino que, más a menudo, son la pasión y las afecciones ciegas del alma, sin cuidado de los demás objetos ni del porvenir".

**Este estado de cosas** le lleva a Spinoza a la conclusión de

"que ninguna sociedad puede subsistir sin poder y sin una fuerza, y por consiguiente, sin leyes que gobiernen y dirijan el desenfreno de las pasiones humanas".

**Sin embargo, y esto es muy importante**

"la naturaleza humana no se deja sujetar enteramente" (73)

The network of relationships we have seen throughout the text are repeated in the above passage, in which quotations are linked by anaphoric referents, such as the deictic *este estado de cosas*, and by concessive conjuncts, such as the above *sin embargo* - reinforced by the additive conjunct *y esto es muy importante* - to further demonstrate the logical causal links between the different parts of the text and the cited works.

Es aquí donde parece que se produce la ruptura con Hobbes, en el mismo sentido que lo hará J. Locke. Continúa Spinoza deduciendo, **en primer lugar**,

"que el poder debe estar mientras sea posible en poder de la sociedad entera... **En segundo lugar**, las leyes en cualquier Estado deben estar organizadas de modo que los hombres se sujeten menos por el temor del castigo que por la esperanza de los bienes que más desean, porque de este modo cada uno cumplirá su deber con entusiasmo" (27).

**Y ello porque**

"**sabemos que** su constitución natural inclina a los hombres a buscar apasionadamente su interés particular y juzgar de la justicia de las leyes con parcialidad según contribuyan o no a la conservación y al desarrollo de sus bienes. No defienden causa ajena más que en la medida en que creen que de este modo defienden sus propios asuntos" (28).

Again anaphoric reference is used to link the quoted texts by means of the causal conjunct preceded by the pronoun, *y ello porque*.

Dos aspectos nos interesa resaltar. **En primer lugar** que los hombres juzgarán de la justicia de las leyes según que contribuyan o no a la conservación y al desarrollo de sus bienes; encontramos de nuevo la misma preocupación que en Maquiavelo y Hobbes por el marco adecuado en que reine la confianza, pero también la idea de justicia que desde Locke pasará a David Hume y Adam Smith, consistente en garantizar los derechos de propiedad y el cumplimiento de los contratos. El otro se refiere a las causas ajenas y los intereses privados, **esto es**, el bien público es una consecuencia no querida del interés privado, idea que veremos, es típicamente Smithiana. (74)

The use of enumerative conjuncts, *en el primer lugar (...) el otro*, once more shows the micro-function of exposition. The reformulatory *esto es* is employed in the function of definition, a usage common to both TL and SL in academic texts, where the major text type is argumentation. This text comprises a series of micro-functions as the macro-function of argumentation is based on the reformulation of the cited works in support of the hypotheses put forward. We have not attempted to analyse the language of the cited works, these being Spanish language version of the originals, which will be taken from source texts in the TT. Nevertheless, the intertextual and co-textual elements that these represent are clearly fundamental to the text as a whole and are commented upon as such.

**"Finalmente**... en una sociedad en que el poder está en manos de todos y las leyes se hacen con el común consejo, nadie está sujeto a la obediencia, y aumente o disminuya el rigor de las leyes, el pueblo es siempre y por completo libre, puesto que obra por su propio consentimiento" (29).

Spinoza va a demostrar que

"ni es posible ni necesario que nadie ceda todos sus derechos al poder soberano" (30)

De los textos anteriores se deduce claramente que la filosofía de Spinoza conduce hacia el libre cambio y la competencia, aunque la defensa que realiza de la propiedad estatal de los bienes inmuebles se aparte de su razonamiento. Dos motivos impulsaron a Spinoza a afirmar **que** (74)

The referential nature of the text is maintained as the writer summarises the contents of the previously cited works and goes on to quote from the same source:



"los campos, la totalidad del suelo, y si es posible, las casas deberán ser propiedad del Estado, es decir, de quien ejerza la soberanía" (31)

La necesidad de conseguir recursos financieros para el soberano y "asegurar la paz y la concordia" entre los ciudadanos por ser los bienes inmuebles limitados. Por lo que se refiere a la consecución de recursos financieros,

"los ciudadanos tanto los de la ciudad como los campesinos, los (bienes inmuebles) alquilarán por una retribución anual, una vez pagado este alquiler, la población quedará exceptuada de todo tributo en tiempo de paz. Una parte de la suma así adquirida pasará a las fortificaciones nacionales, otra a los gastos domésticos del rey. Pues durante los períodos de paz la fortificación de las ciudades es necesaria en previsión de la guerra, lo mismo que preparar los navíos y demás material de combate" (32) (74)

The referential function continues as the following lines employ anaphoric reference in order to link the texts. Paraphrase is also used to this end as the words in quotation marks are repeated in the text and commented upon:

**En cuanto a lo segundo**, al poseer tierras que existen en cantidades limitadas, los miembros de la misma comunidad se encuentran necesariamente en una situación en que la posesión de unos es a costa de la carencia de otros. Pensaba Spinoza que **esto** ocurría solamente en caso de la posesión de tierras que existen en cantidades limitadas. La diferencia de calidades de la tierra, unida a la escasez de la misma, coloca a sus propietarios en una situación de monopolio que suscita la envidia y el conflicto (33). **Así, pues**, (75)

"con el fin de asegurar la paz y la concordia, es muy importante que ningún ciudadano posea propiedad inmobiliaria alguna. De este modo se verán amenazados por igual en caso de guerra" (34).

Again anaphoric reference is in evidence: (line 1) *en cuanto a lo segundo*, (line 6) *esto* and the conjunct *así pues* (line 13), linking the quotation which follows it.

**Sin embargo**, el comercio y los bienes muebles los contempla de una forma distinta. Si se nacionaliza la tierra, todos los ciudadanos se verán obligados a practicar el comercio o las finanzas y de esta forma sus intereses se armonizarán, pues en sus negocios dependerán estrechamente los unos de los otros y exigirán los mismos medios para su realización, o en palabras del propio Spinoza (75)

In the above passage, the macro-function of argumentation is employed in the use of the concessive conjunct *sin embargo*, as the two sides of the argument are weighed up. The micro-function is that of comparison.

**"de este modo** todos los ciudadanos del Estado verán que sólo pueden tratar asuntos de vinculación recíproca, o cuyo desarrollo requiere los mismos medios" (35).

**Así pues**, para Spinoza, lo mismo que veremos después en Adam Smith, la riqueza mueble poseída por los individuos estaba limitada sólo por sus esfuerzos que, a su vez, se traducían en una red de obligaciones recíprocas, que reforzarían los lazos unificadores de la sociedad. Todo ello, en última instancia, asegura la unidad entre los hombres, ya sea por la interdependencia de intereses, ya sea por su convergencia.

**Por consiguiente**, abolida la propiedad privada de los bienes inmuebles, en una economía puramente mercantil la envidia solo tendrá ocasión de manifestarse a través de la competencia, que bien canalizada vendrá emulación pacífica (36). Ahora bien, para llevar a cabo una transformación tal en las relaciones económicas es necesario un clima político apropiado, que permita el desarrollo de las correspondientes instituciones, y la mejor forma de conseguir esto sería en la monarquía ideal diseñada en su Tratado Político.

The remainder of the above passage maintains those characteristics indicated throughout: the use of cohesion markers to link different parts of the text and to join the quotations to the commentary to form a cohesive whole. The conclusion is reproduced in its entirety, in order to highlight relevant features of discourse, shown in bold:



## Conclusión

1 He **intentado** en este trabajo resaltar algunas ideas de la obra de Spinoza que tienen  
 2 semejanzas importantes con aquellas ideas que van a configurar la ética y el orden  
 3 económico de Adam Smith. Para ello **he arrancado** de la declaración expresa de Spinoza  
 4 acerca de la necesidad del **enfoque positivo** para el estudio del comportamiento humano,  
 5 esto es, la consideración del hombre como es en la realidad no como le han imaginado  
 6 filósofos y teólogos. Esta idea le va a permitir a Spinoza establecer el concepto de virtud  
 7 y la fundamentación de la ética **en el amor propio** y, tras poner en duda el ideal  
 8 Agustiniano de virtud, que se fundamenta en la **autonegación** y en la renuncia al instintivo  
 9 **interés individual**, no duda en resaltar el amor propio como fundamento de toda  
 10 moralidad. De forma similar Adam Smith se referiría en su Teoría de los Sentimientos  
 11 Morales al ideal ascético, que cínicamente adoptó Mandeville para definir la virtud y el acto  
 12 virtuoso, como una perversión de la verdadera doctrina, resaltando la no oposición entre  
 13 las exigencias de la moralidad y el bienestar de este mundo. **Hemos visto** también ciertas  
 14 semejanzas con el concepto de simpatía Smithiano, cuando el **amor propio** de Spinoza se  
 15 ve reforzado por la aprobación de espectadores ilustrados e imparciales, así como por la  
 16 *acquiescentia sibi*, esto es, por la **autosatisfacción** ante nuestros éxitos y por el deseo de  
 17 emulación. Nos hemos hecho eco del denominado **utilitarismo racional** que nos conduciría  
 18 hacia el *homo oeconomicus* de los economistas, que conduciría hacia una organización  
 19 social -con las limitaciones pertinentes- destinada a proporcionar la mejor satisfacción de  
 20 nuestras necesidades. Ahora bien, se trataría de un utilitarismo similar al de David Hume  
 21 mitigado por la idea de autocontrol de influencia estoica (37).

22 **Finalmente** hemos visto como Spinoza rompe con Hobbes al poner en duda la  
 23 capacidad de la razón en el diseño de instituciones capaces de encauzar el propio interés de  
 24 los individuos. **Ya que** "busca cada uno, sin duda, su propio interés, pero ni es la razón  
 25 regla y canon de nuestros deseos, ni ella decide de la utilidad de las cosas". En la ruptura  
 26 con Hobbes se anticipa a J. Locke en las atribuciones concedidas al Soberano, y lo que es  
 27 más importante, advierte que "la naturaleza humana no se deja sujetar enteramente". Hemos  
 28 visto a los ciudadanos de Spinoza, al practicar el comercio y las finanzas, arrastrados por  
 29 la armonía de sus intereses, pues en sus negocios dependerán estrechamente los unos de los  
 30 otros y exigirán los mismos medios para su realización. **Igualmente hemos visto** los  
 31 esfuerzos de los hombres por incrementar su riqueza traducidos en una red de obligaciones  
 32 recíprocas que refuerzan los lazos unificadores de la sociedad.

The conclusion shows characteristic uses of summative conjuncts, such as **finally**, to indicate the summative function. The use of the present perfect and the requirement it imposes on the writer to summarise the contents of the text and to reiterate the aims of the work in order to validate the claims made are standard norms in a text of this type. The



textual characteristics outlined in the earlier part of the text are maintained as the writer continues to use the same specialised lexical items, the use of which shows lexical cohesion:

line 4 *enfoque positivo*

line 16 *acquiscentia sibi*

line 17 *utilitarismo racional*

line 18 *homo oeconomicus*

line 14 *amor proprio*

line 9 *interés individual*

line 8 *autonegación*

The incorporation into the text of co-textual elements in the form of the quotation continues on line 12, although fewer quotations are employed at this stage. The equative *igualmente* is used to reinforce the function of argumentation, which we consider to be the macro-function of the text.

#### 5.4. Intertextuality.

It is evident throughout that intertextuality is the hallmark of the academic text, although it is difficult to distinguish between conceptual borrowings and the finely woven intertextual threads that distinguish the myriad linguistic and stylistic influences writers of similar texts have exerted on the author of a particular text. In a non-academic text, which lacks the overt references of the academic text, a guessing game can enable us to know which stylistic influences the writer has been exposed to. In the literary text we search for particular stylistic features which have been *borrowed*, consciously or otherwise, from other authors. The apparent intertextuality of the academic text makes the clues to the game easily accessible, as works cited are flagged by footnotes and explicit references, to a degree not evident in other texts.

Rather than intertextuality, we are dealing with a text about other texts, whose main function is to argue the validity or otherwise of the arguments put forward in these texts in support of a particular thesis. The micro-functions of definition, reference, paraphrase,

description, which we have noted throughout, incorporate the co-textual elements found in the cited works. Moreover, these elements, we would argue, actually form an integral part of the text as demonstrated in section 5.3.

The referential function is in evidence in the explicit reference to other writers, whereas *intertextuality*, as such, is conveyed in a number of ways: lexical and conceptual borrowings and stylistic features all denote *intertextual* influences deriving from the Scottish moral philosophers. Particular characteristics, which differentiate the academic from the literary text, are the norms concerning referencing and the need to document sources. However, the explicit nature of the items referred to in an academic text, citations, quotations, footnotes etc, compiled in a bibliography, differs from *intertextuality* as defined by Bell (1991) Neubert and Shreve (1992), and may be considered with reference to the language function, rather than to *intertextuality* as commonly understood:

Nor should intertextuality be understood as the mere inclusion of the occasional reference to another text. Rather citations, references, etc. will be brought into the text for some reason. The motivated nature of this intertextual relationship may be explained in terms of such matters as text function in overall communicative purpose. That is, one does more than just quote Shakespeare. One uses Shakespeare's utterance for one own purpose. (Hatim and Mason 1990:128)

Nevertheless, it is clear from the present text that intertextuality does exist on a separate count; the texts quoted have been the seminal works of the discipline from its beginnings and the lexical items, indeed the very concepts under discussion, stem from texts written by the Scottish moral philosophers. The terminology employed throughout, such as



*consequencia no querida, el deber ser*, derives from these texts, as demonstrated in the original versions of the quotations, given in translation below.

We include the following quotation, taken from the original text, as an example of the language of the source texts. The Spanish language versions of these works form the bibliography on which the present text is based. The referential nature of the commentary and discussion in the text, linked, by syntactic and semantic cohesive devices, to the quotations, enables these elements to form an integral part of the text. This integration of co-textual elements <sup>45</sup>, in the form of quotations, is a characteristic of the academic text common to both SL and TL. In the terminology employed in the text, we are dealing with translations from English deriving largely from the works of the eighteenth century Scottish moral philosophers. It is important, therefore, to recognise these specialised lexical items in order to avoid *back-translation*. The following quotation from Spinoza contains the key argument employed regarding *el deber ser* and contains both lexical items and concepts on which the present text is based:

"Philosophers conceive of the passions which harass us as vices into which men fall by their own fault and, therefore, generally deride, bewail or blame them, or, execrate them, if they wish to seem unusually pious. And so they think they are doing something wonderful, and reaching the pinnacle of learning, when they are clever enough to bestow manifold praise on such human nature, as

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<sup>45</sup> We cite section 5.4 in support of this argument. What, at first glance, may appear to be evidence of *intertextuality*, in the form of *co-textual references*, in fact, forms an integral part of the language functions employed. Clearly, these references also offer evidence of intertextuality, which is supported by the lexical and conceptual borrowings from the Scottish moral philosophers.

is nowhere to be found, and make verbal attacks on that which, in fact, exists. For they conceive of men, not as they are, but as they themselves would like them to be." (79)

The conformity to the internationally accepted norms or conventions of the academic text, demonstrated previously, provide further indications of intertextuality, in so far as they show that the text belongs to a particular text type and is influenced by similar writings in the field.

### 5.5.Intentionality and Informativity

Amongst the defining characteristics of the text (Bell 1991:163), *intentionality* concerns the reasons the writer has for producing a text and *informativity* concerns what the writer is telling us. Academic discourse flags a number of features of textuality in a way which the majority of writing does not. The *informativity* and *intentionality* requirements are expressly stated in the introduction to the work, as the following quotation shows:

#### Introducción

El presente ensayo forma parte y es uno de los primeros resultados de un proyecto más amplio sobre los antecedentes del Homo Oeconomicus y la ética del capitalismo en el pensamiento de Adam Smith.(78)

The introductory line conforms to the norms of the academic text in the TL, i.e. sets out the intention of the writer and the objective of the work.

La hipótesis defendida aquí es que en la obra de Spinoza encontramos el germen de algunas ideas que conducen directamente a la configuración teórica del orden económico y de la ética de Adam Smith. A fin de conseguir mi objetivo, se verá cómo Spinoza, siguiendo el camino iniciado por Maquiavelo y continuado por Hobbes, va a adoptar un enfoque positivo en su estudio de las características de los sentimientos, pasiones y afecciones de los hombres a fin de descubrir leyes universales capaces de explicar el comportamiento humano. Aquí intentaremos hacer mayor hincapié en aquellas ideas que conducen al orden económico Smithiano.(68)

Phrases such as *a fin de conseguir mi objetivo* (in order to obtain my objective) denote this explicit intentionality. One of the criteria for *acceptability* of an academic text is the success or otherwise of achieving the stated objectives, a requirement fulfilled only if *coherence* requirements, representing another standard of textuality, are also met. (Bell 1991:5.1) The introduction also complies with the *informativity* requirement in so far as it informs us of the objectives of the work.



### 5.6 Tenor

There exist certain conventions and norms governing the academic text in the TL, amongst which is the use of a formal, impersonal tenor <sup>46</sup>. Formality and impersonality of tenor is in evidence, as the following passages show, in syntax, overall structure, commented upon above, and in the use of lexis <sup>47</sup>. The following examples are not exhaustive but have been selected as representative of the text as a whole:

#### Introducción

El presente ensayo forma parte (...) <sup>48</sup> el pensamiento de Adam Smith. (1)

The introductory line conforms to the norms of the academic text in the TL, as pointed out in section 5.5, setting out the intention of the writer and the objectives of the work,

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<sup>46</sup> As these norms and conventions are widely documented, in publications such as the M.L.A. handbook, and generally recognised as valid, we have not attempted to verify the validity of this statement.

<sup>47</sup> Passages are reproduced here in their entirety for ease of reading. Where page references are necessary, these refer to the ST, which forms part of the appendix.

<sup>48</sup> The full quotation is given in section 5.5, with reference to intentionality, as is the following quotation.

thus showing the structural formality of the text. Formality is also evident in the syntactic complexity, noticeable in the verbal phrase comprising both the verb groups *es* and *forma parte de*, and also in the noun phrase containing pre-modification of the head word, followed by extensive prepositional post-modification. The use of the Latin term is also a formality marker. The indications so far are that the text is expository in type and the domain is referential.

**La hipótesis defendida** aquí es que en la obra de Spinoza encontramos(...). **A fin de conseguir mi objetivo**, se verá cómo Spinoza, siguiendo el camino iniciado por Maquiavelo (...). (68)

Impersonality of tenor is achieved in the above passage by the use of the passive *la hipótesis defendida* and the second person plural *encontramos*. This norm is later violated by the use of the personal *mi objetivo* and presents a possible problem of acceptability in the norms of the TL. The norms of an academic text are, however, changing ones and the use of the impersonal *we* is decreasing.

Spinoza, adelantándose a los filósofos morales escoceses del XVIII, desconfía de las posibilidades de la razón en el diseño de instituciones capaces de encauzar el **propio interés** de los individuos. La consecución del **interés público** sólo como consecuencia **no querida del interés privado**, pues "nadie defiende la causa de otro, a menos que crea asegurar con ello la suya propia", y la importancia de los incentivos son otras de las deudas que tenemos los economistas con Spinoza. (68)

The use of the non-finite participle to introduce the first sentence of the above and the syntactic complexity of this are formality markers in Spanish. The use of the inferential conjunct *pues*, line 7, conforms to the TL usage in texts of this type, showing the causal link between different parts of the proposition and adding to the syntactic complexity of the text. Embedded quotations and specialised lexical items, as well as non-specialist lexical items of a formal tenor, are again used as formality markers throughout the passage. The impersonality, denoted by the use of the first person plural, signals a distance between sender and receiver of the code. Lexical items which provide a cohesive thread throughout the texts are shown in bold.

#### La Relegación del deber ser

En una época temprana Maquiavelo había insistido claramente en la necesidad de un enfoque positivo, al intentar proveer orientaciones para el mundo real donde el principe debe desenvolverse, y en saber cómo funciona el mundo en realidad, dejando de lado el problema del deber ser. (p69)

The use of embedded structures in the above sentence is a characteristic formality marker in Spanish. Formality is also conveyed by the use of lexis, such as *proveer orientaciones*, instead of the more colloquial *dar orientaciones*, and *desenvolverse*, rather than the more usual *vivir en el mundo*. The use of specialist terminology, such as *enfoque positivo* increases formality, as lexis of such a specialised technical nature makes the text less accessible.

De la misma forma Hobbes, convencido de que la filosofía política debe considerar a los hombres como son en la realidad, emprendió el estudio sistemático de la naturaleza humana. Pues bien esta exigencia del enfoque positivo postulada por Maquiavelo y Hobbes



es lo que Schumpeter (3), refiriéndose a los filósofos del derecho natural, denomina ética analítica, cuya "tarea primaria" consistía en "explicar el comportamiento real". Este enfoque científico positivo, ética analítica en este caso, aparece con más fuerza en Spinoza cuando critica a los filósofos. Comienza en el Prefacio de la parte III de la *Ética* haciendo hincapié en la laguna en el tratamiento de los afectos, pues (69):

Embedded structures and specialised lexical items, as well as non-specialist lexical items of a formal tenor, are again used as formality markers throughout the above passage. Lexical items such as *laguna*, although non-technical, belong to the formal written channel and add to the formality of tenor.

En consecuencia, lo que **se propone** es un análisis riguroso de la naturaleza de los afectos capaz de demostrar que la pasión debe elevarse a la categoría de virtud, si bien para entenderla es necesario partir del cuerpo y no del alma. (69)

The use of the *pasiva reflejo* in *lo que se propone* corresponds, in degree of formality, to the English passive and has an equally distancing effect. The concessive *si bien*, acting as a conjunct linking the subordinate to the superordinate clause and adding to the syntactic complexity of the phrase, is characteristic of the formal written mode in both SL and TL.

El mayor reproche que hace a los filósofos es su falta de realismo. Al no concebir que "la naturaleza no se limita a las leyes de la razón" (5) y pensar que el hombre ante todo es un ser racional, califican de conducta excéntrica o incomprensiva todo lo que no se ajusta a las normas de la razón. Frente a ellos Spinoza contempla:

"Los afectos humanos, como son el amor, el odio, la ira, la envidia, la gloria, la misericordia y las demás afecciones del alma no como vicios de la naturaleza humana, sino como propiedad." (69)

The sentence, (line 2) in the above section, begins with a non-finite participle used to foreground the quotation. The non-finite verb group, *Al no concebir ....y pensar*, pre-modifiers of the verb *califican*, are characteristic of the complex syntactic structures which act as formality markers in both TL and SL. Anaphoric reference is in evidence in the omission of the personal pronoun accompanying the verb *hace* in line one, the subject of which is Spinoza, mentioned earlier.

*Sin duda alguna la crítica de Spinoza se lanza contra quienes defienden postulados que conducen inevitablemente a la excisión estéril contra la que se enfrenta su proyecto ético.*<sup>49</sup> Las propuestas de los filósofos nos conducen por una parte un mundo ilusorio lleno de buenas intenciones donde todo es posible pero nada se realiza y por otra a la realidad de los fenómenos cuya servidumbre no queda más remedio que aceptar (7). Efectivamente: (p69)

The tree diagram, representing the above sentence, reproduced at the end of this chapter, serves to show the syntactic complexity of the sentences employed and to demonstrate the high coincidence between the acceptability norms of the TT and those employed in the ST, the use of syntactically complex structures being common to both.

### Los fundamentos de la Ética.

Vamos a encontrar en Spinoza la fundamentación de la ética en el amor propio, con claras semejanzas con la ética que A. Smith propone en La Teoría de los Sentimientos Morales. Spinoza entiende por el amor propio, el interés individual, como auto-afirmación del propio ser. El Conatus, o afán de perseverar en el propio ser, como llamó nuestro autor al sustrato

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<sup>49</sup> The italicised sentence is reproduced diagrammatically at the end of this chapter in the form of a tree diagram.

de toda virtud, todo vicio o todo acto neutral de mera supervivencia y es de aquí de donde ha de partir la ética. (70)

The same characteristics outlined previously are repeated in this section: explicit inter-textual reference; erudite lexical items requiring explanation as in *Conatus o afan de perseverar*, where the reformulatory conjunct 'o' is employed to add a definition of the term; definition is again employed in line 4, commencing, *Spinoza(...) el amor propio, el interés individual*.

**Es el deseo de ser el único fundamento de la virtud. (70)**

The above inversion of the subject and predicator is a formality marker in the ST, which foregrounds the subject of the sentence *el deseo de ser* and thereby changes its hierarchical order, something which has to be taken into account in the TT.

**El *conatus*, ese instinto natural de auto-conservación, el primer y único fundamento de toda la actividad humana, es por lo mismo el único fundamento de la virtud. (70)**

The use of the pronominal phrase *ese instinto*, as a post-modifier to the nominal *el conatus*, is a further formality marker which is intensified by the linking of the two adjectives, *primer y único* qualifying *fundamento*, employed here in the function of definition.



No parece que sea necesario forzar la interpretación para descubrir en Spinoza lo que se ha denominado utilitarismo racional **que nos conduciría al *homo oeconomicus*, como una especie de modelo ideal** de la naturaleza humana, **similar al que estudiamos en los manuales de Microeconomía**. Lo que implicaría una organización de los distintos aspectos de la vida, sobre un cálculo destinado a proporcionar la mejor satisfacción de nuestras necesidades y ello a través de la educación de los niños, la filosofía moral, la medicina y las artes mecánicas. (71)

The sentence, beginning line 1 and ending line 5, shows characteristically complex syntactic structure, employing embedded expansions, such as the relative *que*, line 2, in the non-defining relative clause, *que nos conduciría* and, line 3, *como una especie de modelo ideal* used in apposition to *homo oeconomicus*. A further identifiable feature, usual in both TL and SL, is the use of complex noun phrases, such as, *una especie de modelo ideal*, *similar al que estudiamos*, containing the partitive quantifier *una especie de*, preceding the head word *modelo*, followed by a postmodifying adjective phrase *similar al* and the use of the subjunctive and conditional mood to present hypothetical notions, all of which are common to the function of argumentation.

### 5.7. Conclusions.

The academic text is unusual in so far as academic norms are actually documented in handbooks, dictating specifically what is acceptable and what is not. Unlike the literary text, the academic text is *norm-bound* to such an extent that even the written presentation must conform to certain norms regarding the width of margin, line-spacing, foot-notes etc.

The style of writing, showing a high degree of formality, tends to conform, as an examination of texts of a similar nature would indicate, to certain norms<sup>50</sup>, such as the use of an impersonal tenor, achieved by employing the passive, the avoidance of the personal 'I', (an example of a changing norm). The use of citations and the use of footnotes and bibliography to provide concrete evidence in support of statements, is another distinguishing feature of this type of text.

The implications of this for the translator are that the position regarding acceptability and, therefore, what Toury refers to as *initial norms*<sup>51</sup> are unusually clear and leave little doubt as to the status of any text, whether translated or not, which fails to adhere to the clearly defined norms of the academic community.

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<sup>50</sup> For a discussion of *norms*, *adequacy requirements* and *acceptability requirements* v. chapter 2.5 of this work

<sup>51</sup> The term *initial norm* is used by Toury (1980) to refer to the translator's choice between adhering to the norms of the ST or the TT (v. Ch.2.5).

By examining any corpus of similar academic texts in British English we become aware of certain stylistic characteristics, which, despite the fact that they may not be so clearly documented as the above-mentioned features, are also characteristic of the genre:

- i. A strict adherence to the rules of cohesion and coherence indicated by consistent use of discourse markers, such as, 'therefore', 'hence', 'moreover', which are concerned with structuring the logical sequences of argumentation.
- ii. The adherence of the text to certain norms regarding overall length, written format and referencing.
- iii. The use of embedded utterances, characteristic of written language in general, is even more marked in the academic text <sup>52</sup>.
- iv. The use of lexical items from within the discipline which have a specific meaning with regard to a particular philosophy or theory.
- v. A high incidence of latinate lexical items and structures, such as 'to whom', less usual in the spoken language and in other written texts.
- vi. A high degree of formality (frozen), characterised by the use of the first person plural and reinforced by the above-mentioned characteristics, such as

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<sup>52</sup> v. tree diagram at the end of this chapter illustrating the syntactic complexity of the characteristic ST sentence.



the Latinate terminology and structures.

vii. A specific type of intertextuality, commented upon in detail with regard to the ST.

viii. The standard use of certain language functions, such as definition, exposition, argumentation etc.

A comparative analysis of the norms of acceptability in Spanish and those required by the English TL community would show that many of these norms are common to both, as one would logically expect from the international nature of the discipline and from the fact that the international academic community have a shared set of conventions.

Nevertheless, it is also logical to suppose that there should occur differences attributable to the polysystems of the particular language in question, in this instance Spanish. The following areas of convergence have been noted in the present text, with comments on areas of divergence:

i. The norms of cohesion and coherence coincide with those outlined in 5.3 above.

ii. The previously cited norms regarding length of text, format, presentation

and structure are common to both languages and are internationally accepted.

The norms regarding introduction, exposition and conclusion are similar and norms regarding citation and references coincide.

iii. Length of sentence - as in English, the tendency is to complex embedded structures, as shown in the tree diagram at the end of this chapter.

iv. The use of specific lexical items to denote particular philosophies or theories is common to both languages.

v. The use of Latinate structures clearly does not act as a formality marker per se, although the use of Latin terminology, the embedded structures and complex noun phrases employed in the TT also act as formality markers in the ST. The use of the passive to denote the formal tenor is less marked, as it is more common in spoken Spanish than the English passive. It, nevertheless, denotes a higher degree of formality than the active form of the verb. The micro-function of definition to complement and explicate terms, as in, "El conatus, *ese instinto natural de auto-conservación*, el primer y único fundamento de toda la actividad humana."

vii. The standard use of certain language functions, such as exposition, definition employed within the macro-function of argumentation.

The similarities outlined above are genre related, pertaining to a particular type

of text, the academic, and adhere to internationally accepted standards, many of which are documented. Failure to adhere to these standards within the two speech communities in question would be sanctioned. The texts would be regarded as *unacceptable*, unless they were translated with a different aim in mind in the TT than in the ST.

Any differences we find are attributable to the linguistic system rather than genre-related, although, of course, the two are inextricably linked. One obvious instance related to the Spanish polysystem is the use of the above-mentioned formality markers, which differ from those employed in the English system. As previously mentioned, the use of latinate lexical items as a formality marker in English is meaningless in Spanish per se, although there are other markers which coincide with those employed in English. The feature of textuality which differentiates the academic text from other formal, written varieties is *intertextuality*.

We have argued that the referential function of the academic text represents a specific *overt* type of *intertextuality*, whereby quotations and citations are interwoven into the text by cohesion markers, in such a way as to form an integral part of the text. The academic text is a text *about* texts and this fact is flagged by these linking devices. The standard form of intertextuality, of a more subtle variety, whereby textual influences are denoted in the use of language and thought of the Scottish moral philosophers, is also present.

In fact, what we refer to as the *referential function* is a micro-function of



argumentation, rather than the textual feature of *intertextuality*, as normally understood. The *intertextual* references we find in the text are related to the use of lexical items and the concepts borrowed from the Scottish moral philosophers and are less overt than the borrowings flagged by quotation marks and linked by cohesion markers.

We adduce from the above-mentioned characteristics of the ST and those conditions of *acceptability* required by the ST that these demonstrate a high degree of coincidence of the *relevant features* deemed necessary for acceptance as an academic text by the target language speech community. The relevance of this for the translation process is the acknowledgement of a similar textual tradition existing in both SL and TL with regard to the academic text.

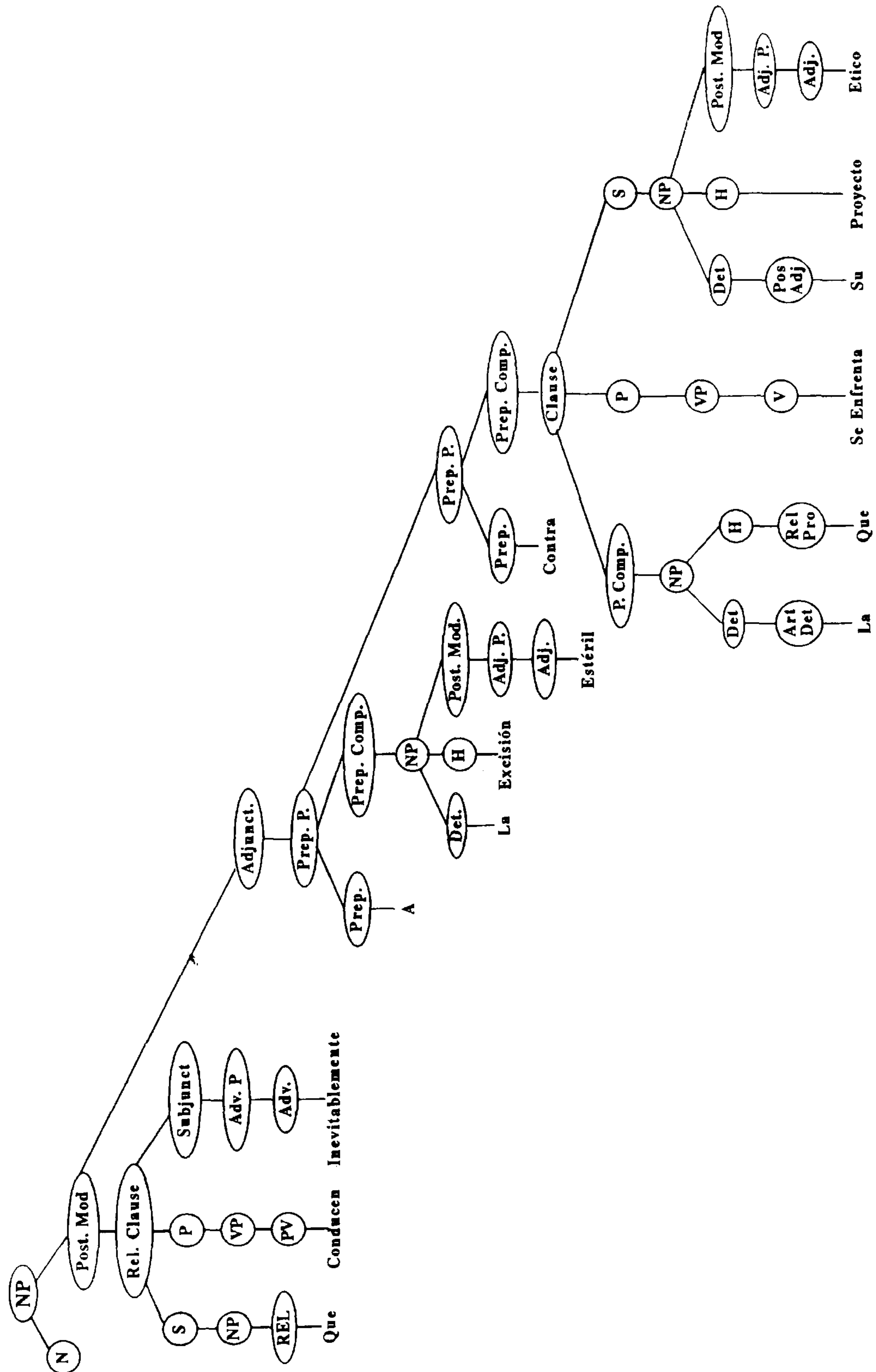
The relevance of this shared tradition for the translation process is that the fulfilment of the requirements of *acceptability* of the TT does not imply the creation of a completely 'reconstructed text', as was to some extent the case with the literary text referred to in the previous chapter.

Unusually, the translation process is, in this instance, governed by documented norms which, if deviated from, reduce the *acceptability* of the TT. The fact that these norms are strictly adhered to in both languages and that their violation is highly sanctioned limits choice in questions of structure and format. In this particular genre, the TL is historically influenced by the SL, Latin being the original language of the genre and Spanish being a Latinate language. The fact that the use of latinate

structures is a relevant feature of texts TL, limits us stylistically in our reconstruction of the ST.

From a contrastive point of view, the degree of equivalence is likely to be high in terms of coincidence of norms between TL and SL. The textual functions of the academic textual tradition in English and Spanish coincide, for historical reasons, and the implications of this for the TT are evident from the high degree of formal equivalence in evidence in the English version.

It is clear from the stage by stage analysis of the text that any conclusions we have reached regarding the nature of the texts, the ST and TT norms and conventions and the *acceptability and adequacy requirements* have been reached by means of a pragmatic analysis of discourse features. Speech-act theory has informed our analysis and allowed us to reach conclusions about the text type that we are dealing with. An awareness of the common features of textuality is vital to our understanding of and, hence, our ability to translate the text in question.





## Chapter 6 - Conclusions

Our aim in writing this thesis has been to examine current thinking in translation studies and to seek to assess the relevance of this to the translation of two different text types. In so doing, we have reached certain conclusions, which, despite the rigour with which we have approached the subject, are, in the final analysis, necessarily subjective. Translation is not an exact science and attempts to treat it as such have led, as Snell Hornby comments, "to a dead end" (1988:14). The subjective element is inevitable and the working translator, whose ultimate responsibility it is to produce a target language text in accordance with *acceptability* criteria, will ultimately use his or her own judgement regarding the nature of those criteria and the priorities they represent.

We have employed techniques and approaches which we consider appropriate to the text type. The ways in which these approaches were helpful to our analysis and translation will be discussed as we summarise the conclusions we have reached in our work.

The study of the life and work of the author helped us anchor the work in its 'provenance, home and age' (Enkvist 1985:18). This, in turn, enhanced our awareness of the movements, both social and artistic, which influenced him. Such *a priori* knowledge can be counterproductive, if we slavishly adhere to received thinking regarding an author or a work. If, however, we approach this without preconceptions, biographical

information, such as the background of civil war and dictatorship in which Nieva grew up and his later exposure to and participation in most avant-garde artistic movements of his day, provides useful co-textual information which enhances our understanding of the text.

The pragmatic approach employed, deriving from those theories of translation based on the analysis of discourse,<sup>53</sup> allowed us to examine speech acts in their context, something which was particularly useful in the analysis of dramatic discourse. The context referred to is more than merely linguistic, but also involves the cultural context in which the work was written. A pragmatic approach to the text enabled us to bear in mind various contextual determiners of meaning likely to be of significance to the dramatic performance, such as stress and intonation patterns on a phonological level and scenography on a semiotic level. Citing Bell (1991) and Van Dijk (1988), we employed the notion of the *macro-function*, which enabled us to view the entire play as a speech act.

The notion that the text in its entirety contains the authentic context for the speech act, or for the numerous, *micro-functions*, forming *macro-functions*, involved in the dramatic discourse, proved useful in translating the dramatic text in the following ways:

#### 6.1. The translation of semiotic aspects of the dramatic text.

We have discussed in chapter 2.2 the relevance of the sign system to dramatic discourse and to the relationship this has with performance. Included in the theatrical sign system are

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<sup>53</sup> Bell (1991) Hatim and Mason (1990) Neubert and Shreve (1992).

the manifold hints given in the stage directions, the importance of which in the play *Pelo* is discussed at length in the analysis in chapter 4, and which place the *reopera* firmly in the category of *texts-to-be-performed* (Bassnett-MacGuire 1985). Complementing what we have referred to throughout the analysis as *explicit*, or *overt*, stage directions are *covert* directions, frequently spoken by the characters themselves, as when the blindman comments that the *Alguaciles* are wearing velvet (Nieva 1991:176):

".....¡ Uff! los tales siempre me hacen estornudar con la humedad de sus terciopelos."

This reference may appear trivial, yet it has implications for the role of the *alguacil* as a modern figure or as one who evokes the Golden Age dramas of Lope de Vega. Other aspects of the characterisation, such as the use of stereotypes, are also reminiscent of the Golden Age plays. This lends a slightly archaic air to the play, albeit one which is used in an attempt to further suspend reality by adding to the timelessness of the play. The mere translation of the phrase into English does not of itself convey the temporal context, which we attempt to transmit in our reconstruction of the academic text by the occasional use of archaic English, such as in the use of the archaic term *whoremaster*, employed by Shakespeare. This is only justifiable if we focus on the play in its entirety, allowing this pragmatic knowledge of the text to permit us to introduce, later in the play, the contextual elements which convey meaning to the play as a whole, rather than being limited to conveying them, then and there, within a particular utterance.



### 6.2. The Translation of *Otherness*.

Another example of how pragmatic analysis is potentially liberating for the translator is in the translation of what Aaltonen (1993) refers to as *otherness*. Given our decision to attempt to convey the specifically cultural elements in the play, rather than to neutralise or naturalise them, there exists a danger of conveying *form* rather than *content*. In order to avoid doing this, and, at the same time, to avoid trivialising or ridiculing the *otherness*, we must view the play as a whole and employ signs which have meaning for the target audience/reader. Where cultural aspects of the play are likely to be comprehensible in the TT, such as in the use of *viva*, and *olé*, in the translation of popular songs, or where scenic effects provide contextual clues to understanding, such as in the street procession, where Goya's painting is used as a prop, the lexical items have been left in the original.

### 6.3. Intertextuality and the Analysis of Discourse.

Examining the text for the various characteristics of textuality, such as register and its sub-divisions of tenor and mode of discourse, provided us with a major insight into Nieva's use of language. We examined the characterisation techniques employed by analysing the register of language used and found evidence to support the view, expressed by Orenstein (1975) that Nieva, although not a Surrealist as such<sup>54</sup>, was clearly influenced by the

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<sup>54</sup> Surrealism, as pointed out in chapter 3, was a pre-war movement. Nieva saw himself as an Expressionist, a movement which had its beginnings in Surrealism.

surrealist ideas that were current in the Spanish avant-garde movements of his youth, such as *el Postismo*.

Techniques of traditional literary analysis, with their reliance on intuition and the insight provided by knowledge of the ST literary system, enabled us to ascertain intertextual influences, such as the link with a Spanish literary tradition evident in the evocative use of names, reminiscent of other characters from Spanish literature. The blindman, for example, may be associated with the picaresque tradition in Spanish literature and the low-life *maja* with the popular theatrical tradition.

The stylistic analysis provided us with concrete evidence of the surreal and popular elements in the play as the techniques of deviation, such as the violation of register and the lack of adherence to standard norms of discourse, coincide with the surrealist aesthetic in its express desire to break with forms and restrictions of all kinds. The surrealist aesthetic was also evidenced in the disjointed and incoherent outbursts of Sister Jean and in the violation of religious liturgical forms in order to shock and satirise. Several of these elements are evocative of the Freudian psychoanalytical technique of free association, and provide further evidence of surrealist influence, all of which is gleaned from the analysis of discourse.

The need for the translator to go beyond the text, or at least to bring to that text a wider knowledge, is evident. Our findings regarding intertextual influences in the play were

prompted by our research into the theatrical and artistic movements which had a formative influence on the artist and confirmed by close analysis of discourse features.

The use of idiomatic, vulgar street language suggested the influence of a *popular* Spanish theatrical tradition, commented upon in chapter three, as did the farcical elements in the dramatic action throughout. Again the register of the discourse and variations in tenor and mode allowed us to discern intertextual influences and provided clues to characterisation in the play.

#### 6.4. Intentionality in the dramatic text.

This particular feature of textuality is one which, we would argue, should be respected above all others. While *faithfulness* to form is frequently the best way of deviating from authorial intentionality, adherence to the overriding artistic and political statements an author is making is an ethical prerequisite for the translator. The following represent broad aims we consider important in this respect:

*i. Humour and Satire* - the author clearly intends to amuse and satirise. Frequently, the humour of the target text is easily translatable, on other occasions, particularly in the earthy use of popular language, cultural equivalence is lacking, eg., the reference to the mother quoted in chapter 4. The notion of the macro-function allows the translator the license to employ humour wherever the TT version lends itself to this, not necessarily at the particular point at which it is employed in the ST.



ii. *The desire to shock* - the violation of form aims to shock and the use of the vernacular in inappropriate circumstances is equally disconcerting. It would be possible here to argue in favour of *naturalisation* by situating the play in contemporary British society in order to produce equivalent cultural stereotypes. On balance, it was considered unnecessary to do so, bearing in mind the universality of those stereotypes employed and the loss that this would inevitably produce in other areas.

iii. *Parody and stereotyping* - these belong, perhaps, to the area of dramatic action, rather than to discourse. Nevertheless, the translator needs to bear in mind the underlying intentionality of the characterisation, if, as we intend, the artistic aesthetic of the work is to be conveyed in the reconstructed text. The TT aims to reflect the authorial desire to explode unacceptable reality by means of these techniques.

The importance afforded to intentionality in the TT and the desire to be faithful to this stem from the respect commanded by the circumstances in which the work was written. The play was shunned, at the time of writing, for both artistic and political reasons. There was no place for avant-garde theatre, whose express aim was to attack those forces in society underpinning the regime, in Franco's Spain. We feel it important, therefore, to attempt, in so far as it is possible, to convey the anti-authoritarian spirit of the play. The cultural context, or *otherness*, may not always be conveyed successfully, but the universality of the theme, as we have pointed out, should compensate for this, without the need to contemporise and naturalise the play.

### 6.5. Implications for Translation.

The implications of these conclusions for the reconstruction of the TL version are the following:

In reaching the conclusion that certain utterances in the dramatic discourse do not comply with the norms of the speech act, as outlined by Searle (1969) and Austin (1962) and discussed in chapter 1, being devoid of propositional content and illocutionary force, we feel justified in translating the form of the utterance in order to convey its inanity.

Where register is violated either by inappropriacy, as in the intervention of the authorial voice, or by sudden changes of tenor from the formal to the informal in a single utterance, this violation is reproduced in the TL version, in an attempt to produce a version which is *faithful* to the artistic intentionality, rather than merely to the linguistic form. In so doing, we are conscious of the need to produce a target language version which accords with recognisable theatrical norms of avant-garde theatre.

The notion of translation-source comparisons, proposed by Toury (1980) and outlined in chapter 2, with its emphasis on adherence to the norms of the target language culture, has influenced our approach to the target language text to the extent that we have opted on occasions for *acceptability* at the expense of *adequacy*, although an analysis of the norms of the source language text and an attempt to compare these with norms of the target language culture proved difficult in view of the unique form of the *reopera* and the absence

of comparable texts in the TL. The search for norms in the literary text was confined, therefore, to the general norms of experimental theatre.

The differences found between the literary and non-literary text concerned, on the one hand, the intentional deviation from linguistic norms and conventions as part of authorial intentionality and, on the other, the strict adherence to these in order to conform to the *acceptability* requirements of the academic community. The two texts could be seen as belonging to opposite extremes of a spectrum of rule-governed linguistic behaviour, the dramatic text having as a discernible artistic aim the violation of norms of language and the academic text being characterised by its strict adherence to internationally recognised conventions.

It was, therefore, considered appropriate, with regard to the academic text discussed below, to employ an approach based on the comparative analysis of ST norms with those of the TT. However, the norms were discernible only through the analysis of discourse, as is shown in the analysis of the text in chapter 5.

#### 6.6. The Textual Characteristics of the Academic Text.

The analysis carried out of the academic text in chapter 5, in which the textual features of the Spanish text were examined using a pragmatic approach, showed the causal relationship between the different parts of the text and the way the various micro-functions.



such as exposition, definition and comparison, are linked to form the macro-function of argumentation.

A comparative analysis of the norms of the source academic text with those of the target language showed that there was a high degree of coincidence between *adequacy* and *acceptability* requirements. The norms of the academic text in the target language, English, such as the high degree of formality, characterised by syntactical complexity, and the use of specialist lexical items, as well as the use of citations and quotations, employed in accordance with established conventions, unsurprisingly, coincide to a high degree with those employed in the ST.<sup>55</sup>

The analysis of the ST showed that the degree of formal equivalence between the ST and the TT was high, due to the tendency in the TT to employ latinate terminology in order to achieve the acceptable degree of formality of tenor.

The syntactical complexity of the ST was demonstrated by means of a tree diagram, appended to chapter 5, which shows such complex embedded phrases to be formality markers in the SL.

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<sup>55</sup>As pointed out in chapter 5, in the absence of a corpora of work on norms of the academic texts in English, we have based these assumptions on advice on academic writing given in handbooks, such as the M.L.A publication, and on the generally accepted criteria for academic writing.

The use of specialised lexical items with specific meanings within the discipline, a characteristic of the TT, was evident also in the ST. Moreover, this provided evidence of intertextuality of a standard variety, indicating the semantic influence of seminal works in the field, published in the eighteenth century by the Scottish Moral Philosophers. The translated version of these texts had provided the accepted terminology in the field and it was necessary to ascertain the accepted terminology in the TT, which invariably turned out to be formal equivalents.

The intertextual nature of the many quotations and citations around which the text is constructed, and which form an integral part of the text, is seen to be of a different nature from the above-mentioned aspects of intertextuality. Quotations frequently form an integral part of an utterance and, we would argue, unlike the finely woven thread of intertextual references discernible in the lexis and conceptual borrowings of the text, the quotations are explicit, flagged borrowings, forming the basis for argumentation. An academic text is a text *about* other texts and, as such has a distinctive form of intertextuality.

The flaggings, in the form of footnotes and endnotes, represent norms of the academic text present in both SL and TL and are international in nature. The academic text differs from other texts in the degree to which the norms and conventions necessary to meet *acceptability requirements* are documented and universally adhered to, failure to respect these norms and conventions being a highly sanctioned form of linguistic behaviour.

The high degree of coincidence between *acceptability norms* and *adequacy norms* was consequently no surprise, and finding the *initial norm* therefore presents no problem to the translator.

An examination of the textual characteristics of the academic text showed how the ST text employs cohesive devices to link the different parts of the text and to demonstrate the relationship between them. Anaphoric reference and logical connectors are employed in the macro-function of argumentation. The accepted coherence requirements, which necessitate the explicit statement of objectives in order to demonstrate intentionality and a formal structure, employing the micro-functions of definition, exposition and comparison, linked by logical connectors to form the macro-function of argumentation, were observed in the ST.

The formality of tenor, denoted by the use of the first person plural, by syntactical complexity and also by the use of specialist, lexical terminology, frequently in Latin, again showed a coincidence of norms between target and source language texts.

The above findings all serve to indicate a shared textual tradition, which is to be expected from the international nature of the discipline and the historical use of Latin as the universal, academic language. The formality requirement of the TL, necessitating the use of Latinate structures, further adds to the coincidence of norms between TT and ST, frequently resulting in formal equivalence between the reconstructed version and the ST.



The strict adherence to norms in the academic text, commented on above, provides a sharp contrast to the literary text, whose express aim, as has been pointed out, is the violation of norms, both social and linguistic. We would argue, therefore, that, although a pragmatic approach was employed in the analysis of both texts, the comparative analysis of norms proved more relevant to the more formal and rule-governed academic text. This conclusion is surprising, given the specifically literary orientation of the contrastive linguists.

The absence of documented norms of dramatic discourse and the unique nature of the *reopera* as a theatrical genre, coupled with the express artistic intentionality aimed at violating norms of language in order to explode reality, meant that the search for norms in the dramatic text was less fruitful than in the academic text.

Nevertheless, the notion of *acceptability* requirements influenced the reconstruction of the dramatic text and enabled us to employ dialogues which were faithful to the authorial *intentionality* underlying the work, rather than to the precise word on the page, while producing dialogue which was meaningful to the TL audience. This attempt to reconcile the TT *acceptability requirements* with ST *adequacy requirements* was aided both by the pragmatic analysis of the text and by the traditional techniques of literary criticism, with their reliance on co-textual information, such as the author's background, and also on our own familiarity with the Spanish literary tradition, which enabled us to discern intertextual references.

The close analysis of the text, examining the features of textuality, such as register, intentionality and cohesion, enabled us to discern intertextual reference in the work and to understand the characterisation of the play. This understanding, in turn, had implications for the reconstructed work in allowing us to translate formally those aspects of the work which, in their violation of form and register, failed to meet the requirements of the speech act and, therefore, of meaningful communication.

Equally, the notion of the macro-function, put forward by Bell (1991) and Van Dijk (1988), enabled us to view the play as a whole as the macro-function, as mentioned earlier. The implications of this for translation were the possibilities this implied for expressing the play's overall intentionality in a variety of ways throughout the play, rather than feeling obliged to be *faithful* to a given line.

To summarise our conclusions, we would say that, whereas the analysis of discourse, employing the pragmatic approach previously outlined, was relevant to both text types, we found the comparison of norms in ST and TT more fruitful in the analysis of the academic text, in which these norms are clearly documented. The special characteristics of the dramatic text and the absence of a corpus of similar work with which to compare it limited the comparison of norms, with regard to this text, to a more general awareness of the theatrical norms of the TT.

*PELO DE TORMENTA*

(reopera)

Francisco Nieva



## PERSONAJES

CEFERINA (maja salida).

LA DUQUESA (mujer al fin).

LA ABADESA (criatura resistente).

SOR JUANA DE LA coz (monja boba).

EL CIEGO DE LA GUITARRA DE PINO.

EL SACRISTAN RABOSO.

EL ALCALDE OFICIANTE.

EL SANTO OBISPO DE ALCALA DE LOS MARES SECOS.

EL ALGUACIL MAS GORDO.

EL ENANO DELETEREO.

Cuarteto de alguaciles, coro de Sublimitas y coro general.

Todo acontece en Madrid, hace mucho tiempo, poco antes del fin del mundo.

*(Comienza. La escena, Madrid. Calles que terminan en caminos y caminos que se dispersan en el desierto. A un lado el convento de las Sublimitas, a otro lado el palacio*

*de la Duquesa. En el centro un pozo en el que ha nacido la bestia lujuriosa llamada el MAL-RODRIGO, de las lamas y la cochambre acumuladas en su fondo. Es un día desastroso y sin hora, ni claro ni oscuro. El sol se va por donde quiere y los vientos se disputan. Llego el CIEGO-CICERONE, con una capa rastrera y una guitarra basta, de pino, con las cuerdas de tripa gorda.)*

### EL CIEGO

Público respetable, que vienes a ver y oír esta festosa reópera, género intemporal, difícil y caro: Haz lo posible por acostumbrarte a estos prodigios y aceptarlos como verdaderos de un pasado desconocido que llevas dentro. Algunas cosas de gusto te prometo si no te chinchán de firme la música ni la poesía. Este es Madrid, ciudad real y administrativa, fundada en un extremo del mundo, casi en su borde, azotada por vientos muy fríos y calores purgatoriales. Aquí vive el rey Dieciocho, con sus bolsillos llenos de tabaco y asistido por una perezosa Inquisición, porque son tiempos de flojera, en los que prolifera el desconcierto. Y sin desconcierto no hay milagro. ¡Ran, raca, raaan. . . !

*(Toca la guitarra.)*

Difícil es de creer en la cosa estupenda, nacida en el fondo de este pozo de las lamas y la cochambre depositadas en él por los tiempos desmemoriados que imperan en España. Me refiero al drago madrileño, llamado el Mal Rodrigo, que de aquí ha surgido con tan feroz apetito y las tripas tan llenas de juerga, que todas las semanas se zampa una hembra de las más frescas que culetean por la ciudad. No hay nadie que se lo impida, pues no hay ejército que pueda contra las escamas de este bicho prodigioso. Circunstancia que se aprovecha para llamarnos maricones. ¡Ran, raca, raca, raaan...!

*(Toca.)*

Yo soy el ciego de la guitarra de pino, el que canta y exagera su crónica, y conmigo se muestra familiar e indefenso porque no le falta vanidad y quiere dejar memoria voceada de sus fechorías. ¡Ran, raaan...!

*(Gritando a la boca del pozo.)*

¡Mal-Rodrigo, Mal-Rodrigo, déjate ver por esta populosa asistencia, dales un susto y convénceles de tu ferocidad!

*(Pausa. )*

No responde todavía. Alguna mala obra estará meditando. Pero hay signos que no engañan y ya los tenéis a la vista. Fijaros en lo desierto de las calles, notad el relente azufrado de la brisa. Así es como se ponen las cosas cuando se va a «armar la gorda». Todo se halla preparado para que comience la acción y el problema se desate del modo insospechado que vais a ver.

*(Suena el órgano de las Sublimitas y el coro reza dentro.)*

*Santa Casilda con la camisa hueca  
San Pedro con su gallo,*

*San Jorge vestido de guardia,  
preservadnos del desastre en este reducto colmado de vírgenes, rogad por nos ante el  
trono del Padre,  
el escabel del Hijo y la percha del Espíritu Santo,  
Aaamén . . . !*

#### EL CIEGO

Aquellas son las sublimes almidonadas en su fábrica de rézar y hacer mermeladas, que se mueren de mieditis, a pesar de que al Mal-Rodrigo no le gustan las tocas impolutas, sino las pecheras levantadas y las faldas de mucho vuelo.

#### LAS SUBLIMITAS

*San Antonio con el Niño en los brazos,  
Santa Justa con su puchero sevillano,  
Santa Bárbara con su pararrayos...*

*( Un relámpago sin trueno. Caen algunos pajaritos electrocutados.)*

#### EL CIEGO

Miren, miren cómo ya protesta la naturaleza y cómo los elementos se estremecen. Y esto no es más que empezar. Algo insólito va a suceder. Escuchen a esa orquesta azorada y el tiritar de los cobardes violines.

*(Al director.)*

Maestro, guarde la calma y no se despepíte.

*(Aparecen los alguaciles de guardia con lanzas y linternas.)*

Aquí llegan los alguaciles que espían, sin poder evitarlos, los actos y movimientos del Mal-Rodrigo.

*(Estornuda. )*

¡Uff! Los tales siempre me hacen estornudar con la humedad de sus terciopelos. En ellos se mean en cuanto salen de su alcaldía.

#### EL ALGUACIL MAS GORDO

A ver si te callas, ciego verboso, y te vas a otra parte con tus comentarios. Tú eres quien enardece a esa bestia, quien le apunta sus malas proezas. ¡Fuera ya de aquí! Lárgate, si no quieres probar el sello de mi mano.

#### EL CIEGO

¡Vete a la mierda, Pilatos, zapatón de la justicia! Haz tu guardia y no quieras encaramarte sobre este ciego modesto y más decente que tu madre.

#### EL ALGUACIL MAS GORDO *(Colérico.)*

¡Maldito seas, tropezones, ojos de albóndiga! Retírate a tu cachera de tinieblas y no provoques a los alguaciles del rey Dieciocho, que Dios guarde.



*(El ciego, entre amedrantado e irónico, se retira a un extremo.)*

#### EL CIEGO

Están desacreditados, llenos de modorra. Si el mejor día no los barre el Mal-Rodrigo de un coletazo, se los comerán las chinches que abundan y se repiten por legiones en sus comisaría.

*(Se lanza a cantar lo que sigue, mientras los alguaciles bailan una danza de negros en torno al pozo. )*

*Viva el rey Dieciocho, vestido de seda amarilla; viva la corte de España, tan abierta de puertas y balcones; vivan el aire de la sierra y el santo Cristo de los notarios. ¡olé y olé! Viva el esparto de Andalucía. Vivan las colas de paloma...*

*(Un silbido del aire. Se dispara del pozo una lluvia de plumas negras.)*

#### EL MAL-RODRIGO

*(En el fondo del pozo.)*

¡Muera la fiesta, cobardones! ¡Amigos de la fatalidad! ¡Españoles de sangre gorda! Que me traigan en seguida otra hembra para mi regocijo, si el rey Dieciocho no prefiere que le derribe todas las campanas de su autoridad en la villa de su real asiento. Como a mí me dé la gana las torres crecerán hacia abajo y los españoles vivirán bajo tierra.

*(Al final sale del pozo y se oculta rápidamente una forma fantástica, con mil lenguas verdes y gaseosas. Los alguaciles caen de culo y se levantan temblando.)*

#### LAS SUBLIMITAS

*(Dentro.)*

*San Ignacio con su boina verde*

*San Miguel con su caballo sarraceno... ,*

*(Sale ahora del convento el sacristán de las monjas, con sotana colorada y un rabo que le arrastra. Tiene un aire entre diabólico y afeminado. Lleva un cubo de basura que vacía tan frescamente en el pozo.)*

#### EL ALGUACIL MAS GORDO

¡Maldito sacristán! ¡Pueblo incivil y desobediente! Mil veces te he dicho de no vaciar las inmundicias del convento en ese pozo tormentoso. Eso es echar aceite al fuego. Te voy a retallar ese rabo que es el escándalo mayor de la monarquía.

#### EL SACRISTAN RABOSO

Si la Iglesia me lo permite y la Abadesa, que es mi madrina, tú no vas a alzar me la mano.

#### EL ALGUACIL MAS GORDO

¡Sarasa! No vacíes ahí más tus cubos o vas al pozo de cabeza.

#### EL RABOSO

¡Uy, que furia de bigote viene hoy gastando la tropa! ¿Dónde quieres que las eche, resalado, si desde siglos es costumbre abonar estas aguas municipales con las mondaduras y las bacinadas de aquella beata cocina? Es la tradición, y con la tradición no hay bromas.

#### EL ALGUACIL MAS GORDO

Vacíalas en tu boca de trompeta, compadre de Satanás. Si otra vez te cojo avivando esta llama, te emplumo, te cuelgo de una pata y te dejo tres días a la verguenza pública.

#### EL RABOSO

¿Y con eso me amedrentas? Eso es lo que a mí me gusta: ¡Cachondeo, cachondeo!

#### EL CIEGO

*(Canta burlándose.)*

*Vivan las perlas del tesoro, vivan las arenas de Valencia...*

#### EL ALGUACIL MAS GORDO

¡Cállate tú! ¡Maldito pueblo de guasa! Lástima que al Rodrigazo sólo le gusten las mujeres. Todos merecéis el pozo. Hasta esa comunidad de sublimes que se sienten tan defendidas porque son vírgenes.

#### EL RABOSO

¡Qué blasfemia tan castigable! Vituperio, vituperio para los alguaciles.

*(Cantando.)*

*Contra el sagrado del claustro no puede ni el Mal-Rodrigo. Aquí se cantona la pureza y se recalcitra la verguenza.*

*(Bailando al mismo tiempo.)*

*En un valle caliente hay un convento  
y en el convento hay treinta prisioneras del rey Herodes,  
treinta pájaras ciegas,  
treinta cebollitas verdes.*

*Hay un convento  
y en el convento  
un sacristán colorado,  
un entierro con muchas luces  
y una torre llena de paja...*

#### Los Alguaciles

*(pisando fuerte y amenazando el sacristán.)*

¡Zas! ¡Zas! ¡Maricón!

*(Le persiguen hasta la puerta del convento y el sacristán se escabulle.)*

¡Se escapó!

EL CIEGO

¡Je! ¡Je! ¡Miguelín, qué veloz eres!

*(Preludio tormentoso)*

EL MAL RODRIGO

*(dentro del pozo)*

Mujer quiero, blanda y cabelluda; mujer rebozada en carne, mujer llena de rincones, felicísimos escondrijos; mujer llena de orificios como el queso de gruyère...

EL ALGUACIL MAS GORDO

¡Cállate, garoñonazo, que ya te la traen!

*(Hace escucha)*

¡Silencio! Ha llegado la hora del duelo. La procesión se pone en marcha. Allí viene la maja del sacrificio, ligada de pies y manos, llorando toda la sal de sus venas...

EL CORO

*(acercándose y luego entrando)*

¡Desventurada, triste...! Así has de morir, bajando al pozo, alimentando nuestros pecados y haciendo cornudo al pueblo que te crió. Maldito sea nuestra estampa. ¡Castigo, castigo y penitencia!

*(aparece la procesión. Viene la maja tendida en unas parihuelas, muy compuesta, entre cojines de alcoba prestados al cuadro de Goya. La sigue el pueblo de Madrid, nublada por las capas y los sombreros. La precede el Alcalde Oficiante, con su vara y una cincha-cinturón con el escudo en bronce de la villa.)*

EL ALCALDE OFICIANTE

*(Ayudando a levantarse a la tributaria.)*

Alzate, maja de mayo, y baja a saturar al feroz enamorado que te reclama. El rey Dieciocho te ha otorgado la banda honorífica de las heroínas; el pueblo te premia con su admiración y reconocimiento. Y ahora ¡a aguantarse! No hay fuerzas contra la fatalidad. Cúmplase todo como el destino testarudo se lo ha propuesto.

*(boceando en la boca del pozo.)*

¡Fiera corrupta!, aquí te llega este plato sabroso. Alarga tu mano y toma la desdichada primicia que la villa, resignada, te ofrece.

CEFERINA, LA MAJA DEL SACRIFICIO

*(Al Alcalde.)*

Quíteme su señoría el atadijo, que quiero bajar como buena cordera. ¡Viva España y la calle del Barquillo. que es mi patria chica! --

*(El alcalde la desliga.)*



EL CORO

¡Viva, viva! ¡Qué modosa! ¡Qué morena tostada! ¡Qué regalo de individua! Pues le va a saber a poco a ese colmo de lujuria.

*(Sube del fondo del pozo una plataforma, y la mujer, muy dispuesta y heroica, con los ojos en blanco y el pecho escapando de la flanera, se coloca en el centro y comienza lentamente a descender. )*

CEFERINA

Adiós patria y parientes. No lloréis, que me comen por guapa. Esa es la miel de mi martirio...

EL CORO

¡Desventurada, triste! Miradla cómo baja. Madrid guarda memoria de este cuadro, propónselo a Casado del Alisal, a Moreno Carbonero, a Gisbert o Degrain...

*(Pueden sustituirse los nombres de estos pintores por otros que más convengan.)*

Que se ganen con él un premio de la Academia. ¡Miserereee. . . !

*(Caen todos de rodillas, los alguaciles presentan las armas. Ceferina ha desaparecido. Pasa un momento. Lentamente, la plataforma vuelve a subir con Ceferina llorosa, con la falda quemada hasta muy arriba de las nalgas--digamos que va casi desnuda--y el corpiño lleno de agujeros. Asombro en todos.)*

EL ALCALDE OFICIANTE

¿Cómo se ha de entender este regreso? ¡Milagro, prodigio!

*(El coro tararea su sorpresa.)*

No parece sino que el Mal-Rodrigo se encuentra hoy desganado. ¡Más vale así! La Providencia nos apadrina. Pueblo de Madrid, levanta el sombrero y alégrate. Y tú, víctima rescatada, cuenta lo que ha sucedido en ese abismo corrompido y dinos el porqué de tu vuelta.

CEFERINA

*(Hacia el interior del pozo, sin poder contener su despecho. )*

¡Bestia presuntuosa, monstruo de desdén! ¿Quién eres tú, impotente legañoso, para despreciarme a mí? Una chica bonita y hacendosa, que cose mejor que la Virgen y Santa Ana juntas a quién puede más, pues costurera soy de mi oficio y tengo un trasero lleno de paciencia. A mí, que soy capaz de coser las carreteras todas con las faldas de los montes y de bordarme la cúpula celeste si se me pidiera de encargo. ¿Quién eres tú, digo otra vez, para despreciar mi talle quebrado por medio, la dura trenza de mis cabellos...? ¡Ay de mí! ¡Sujetadme, imbéciles, que me desvanezco!

EL CORO

A qué vienen esos reproches y esa forma de masticar la gramática discursiva? ofendida parece en su belleza, en sus dotes de seducción y en su honor de costurera. Norma coqueta, Ifigenia presumida, contén esos arrebatos e ingresa en los límites de la decencia manchega.

## EL CIEGO

*(Cantando.)*

*Chulo entrañado del mundo,  
cuerno que traspasas la tierra,  
braguetón de ciclones,  
ciclotón del bulle-bulle,  
locas las traes con tus caprichos,  
don Juan sin cuerpo, baño de escándalo...*

*(En este momento una de las ventanas del palacio de la Duquesa revienta y deja escapar en borbotones de estofa un grandísimo tapiz drapeado, brillante, escamoso y verde como la capa de un reptil araceada de infinitos matices. Se escucha un grito estridente y debajo del tapiz aparece la Duquesa desmelenada, que corre de un lado para otro y luego se acoge al amparo del Alcalde oficiante.)*

## CEFERINA

*(Rabiosa.)*

Aquí está la que él persigue, aquélla es la que prefiere. Ya no se contenta con el plato del día, sino que reclama 'delikatessen'. Aquélla es la niña de sus ojos, el capricho de Anás, la alegría de Caifás, la pichona provocativa.

## EL CORO

Sí, sí, ésta es la Duquesa bribona, más blanca que la cal, la que anda sobre patines y lleva una mariposa en la cabeza; guapa, tonta y popular, como las españolas de postín.

## LA DUQUESA

¡Salvación y justicia, el Mal-Rodrigo me persigue, me asedia con su tentación! ¡Socorro! Ábranme las puertas de ese convento. Al fin decida el monstruo de mi piadosa vocación. Santa Abadesa, trasquilame los cabellos, vísteme de lienzo picoso, acógeme en tu redil de ayunos; muera para el mundo y para los lascivos deseos de este pozo de galantería.

## CEFERINA

¡Cómo presumé de pura esa estúpida vaporosa! ¡Muñecona, gorrilinda, perimondada!

*(Se abren las puertas del monasterio y aparece la Abadesa seguida de su sacristán, que lleva una vela en la mano. Tras ellos la retahíla de Sublimitas.)*

## LAS SUBLIMITAS

*¡Gloria a los encajes de Bruselas! ¡Gloria a los panales d el Gólgota. ¡Gloria a los castillos del Loire!*

## EL CORO

Aquí llegan las suaves, las conservadas en almíbar, las que escurren el bulto de su cuerpo. ¡Qué blancas, qué pulcras, qué lentas...!

## LA ABADESA



Terminen aquí tus temores, tímida señora. Entra en esta casa. de virtud, ven a sembrar acelgas en nuestro huerto de cuaresma, ven a encérrar tus oídos con el doblar de las campanas...

LAS SUBLIMITAS *¡Gloria a la lluvia de mayo! ¡Gloria a las perdices de la vía Appia...!*

LA DUQUESA

Sí, sí, renuncio a los lujos de mi cuerpo, a la joya pestífera y vulgar. Quien entra de monja, del dragón se preserva. Allá voy decidida. La virtud, como el ABC se aprende.

LA ABADESA

Pues ven, hija, que te vas a divertir, te lo prometo. Y, además, vas a ganar el cielo con nuestros ejercicios. Dile adiós a tu juventud. Trágate al tiempo. No sabes lo bien que se consumen los crepúsculos indigestos pelando una torre de patatas...

CEFERINA

No podrá, o no es mujer. Tan cogida está como yo y el vientre la resuena por dentro.

EL RABOSO

Hemos vencido. ¡otra palomita al horno! ¡Una más que se libra del Mal-Rodrigo.

*(En la boca del pozo.)*

A ésta sí que no la pruebas, tragaldabas resalido. ¡Rabia, rabia! Y con tanta crema encima como tema. La crema y la espumilla de la mejor sociedad.

EL MAL-RODRIGO

Sarasa, no mires más por el agujero mío o te disparo un taponazo que te va a servir de revoco.

LA ABADESA

*(Dando un empujón al sacristán.)*

Ve por delante, Miguelín, y no seas majadero. Lleva derecha esa vela y déjale que se reconcoma.

EL ALCALDE OFICIANTE

Ese es un buen ejemplo, señoras. Contra el drago disoluto toda España debiera vivir encajonada y en paquetes para la salvación. Pero somos mala carne llena de zozobra marítima en esta tierra sin agua.

CEFERINA

Ay, que me pongo muy mala. Ay, que me ahogo de sequedad.

*(Se escuchan otros ruidos insólitos, y el tapiz que salió por la ventana del palacio se retira con estremecimientos rítmicos y rumor de sonajas. La Abadesa y la Duquesa entran en el monasterio. Las puertas se cierran tras ellas. )*

LAS SUBLIMITAS



*¡Gloria al otoño del Coliseo! ¡Gloria a la desembocadura del Tajo ¡Gloria a las uvas de Nápoles! ¡Gloria a las rimas de Bécquer...!*

*(Su canto se pierde a lo lejos.)*

EL CORO

Ya la llevan, ya la encierran, ya se la birlan al drago. Ya es otra más como ellas, tan blanca..., tan pulcra..., tan lenta. . .

CEFERINA

*(Despechada y burlona.)*

¡Tan panda..., tan tonta...!

EL ALGUACIL MAS GORDO

Cierra el pico, Ceferina. Empezaste de heroína y vas a terminar en la perrera.

*(El pueblo, embestido y mimético, se ríe de Ceferina y la escarnece. Explosión de alegría. La orquesta se raja en apoteosis. Las gentes desalojan sus capas y sombreros macizos y salen debajo de ellos vestidas de fiesta a bailar el fandango. Sale el sol por donde se fue y todo se restaura.)*

EL CIEGO

¡Fandango y seguidillas, danza y contra-danza! ¡Que todos bailen con los pies en alto y el mundo en la palma de la mano!

CEFERINA

Bailaré yo, y que me estruje una mala sierpe.

*(Escupiendo en el pozo.)*

Aunque tú no me devores, no me faltará un hombrachón de los que escupen fuego por el colmillo, lo que se dice un español corriente.

*(Baila Ceferina, bailan todos, pero en lo mejor del baile surge del pozo una excrecencia espantable y fálica, con verrugas estallantes, como balones repletos de humo. Todos gritan y salen en confusión. Llueve confetti colorado.)*

EL CIEGO

Como habéis podido ver, al señor pueblo de Madrid se le ha cortado el regocijo. Por confiado y embravecido, a la bestia ha exasperado, y como el Mal-Rodrigo tampoco ahorra en desplantes, de un soplo ha fundido todas las campanas del contorno y ha abierto una brecha volcánica en plena Puerta del Sol. El don Juan de aire y de fuego presume de enamorado. «¡La quiero!», dice, arpegiando con la voz de mil pájaros pintureros. «¡Que me la traigan!», dice con los chapoteos del Tigris y con los gorgoteos del Eufrates. ¡Qué desate de elementos! Los rebaños de la sierra bajan balando requiebros y el viento del Guadarrama silba cada proposición...! La ciudad, escandalizada y cobarde, corre buscando un remedio. Los piadosos censores se vendan los oídos, ha presentado su dimisión el ministro de la Decencia. El rey Dieciocho ha decretado la vista baja porque las nubes arrolladizas forman figuras nocivas para la

salud. Y yo nada mejor puedo hacer que traeros hasta un rincón del convento para mostraros al detalle la continuación de la tragedia.

*(Efectivamente, ha cambiado la escena y se presenta el jardín de acelgas de las madres Sublimitas. Se retira el ciego y salen las monjas en fila india, el sacristán raboso delante llevando un palo en cuyo extremo hay colgado un sonoro triángulo que tañe con medida. La procesión forma un semicírculo. Todas las monjas llevan cofias de formas lineales y rígidas que les cubren casi por completo las caras. Para que las descubran han de tirar de un cordón que enrolla mecánicamente un paño del tocado. Vienen la Duquesa y la Abadesa. La primera con una acomodación del traje monjil que no le oculta la cara como a las demás.)*

### LAS SUBLIMITAS

*(siempre a coro.)*

Santo plato de verduras que adornan las escaleras del altar, ahuyenta de nos la carne con sus despellejados estremecimientos, danos la salud del brecol y el pudor de la alcachofa, que viva nuestro espíritu en cuaresma y nuestro cuerpo en verde letargo...

### LA ABADESA

*(A la Duquesa mohína.)*

Enjuga tu llanto y confía en la fortaleza de nuestras virtudes. Cubre tus oídos al soplo avieso que se cuela por debajo de las puertas, al reclamo tentador que se columpia en las ramas de los árboles. Eres nuestro rehén, nuestro tesoro sellado. Anda, hija, haz un esfuerzo: macera tus gracias, sangra tus venas. Por fuerza el Mal-Rodrigo ha de renunciar a su presa y tú has de llevar alzada muy alto la bandera de nuestra continencia.

### LA DUQUESA

¡No, no, ya no puedo más! Nada vale contra la persecución de ese bandido deleitable. El aire me puebla de tentaciones, los sentidos de inefables regalos, y me está dando unas veladas que para mí se queden. ¡Ay, pía madre, madre pía, no logro arrastrar mi sombra, mi tormento crece, mi resistencia se debilita...!

### LA ABADESA

¡Ay, desdichada de ti, desdichadas de nosotras! ¿Por qué no has de tomar ejemplo de estas criaturas? Imita su fuerte cordaje de renuncia, su tensa repugnancia del mundo.

*(Tomando de la mano a Sor Juana de la Coz, una de las que figuran en la retahita.)*

He aquí una hermana, ejemplo de adversidades: un mozo con la boca más fiera que un tiburón la persiguió hasta el dintel de esta casa, mas ella supo cerrarle la puerta en las narices, no sin antes haberle pateado el dragoncillo y Mal-Rodrigo que todos los hombres traen cubierto, a veces con mal cuidado disimulo. Y así ha adoptado en el claustro el honorífico mote de Sor Juana de la Coz. Es un nombre que estrangula los más golosos propósitos.

*(Sor Juana tira de la cuerda que pende de la arquitectura de su toca y la parte delantera se enrolla, descubriendo una careta muy expresiva y llena de unción, con las mejillas coloradas y los ojos entornados. )*



Aún conserva su cara los vestigios de una belleza codiciable. Juntas luchad, prestaros vuestras armas y animaros en la contienda. Decid algo, Sor Juana, despegad esa boca de botón y no hagáis que pierda la paciencia.

SOR JUANA DE LA COZ

*(Incubando una mala crisis.)*

Ay, que todo el cuerpo me pica! ¡Ay, que me acuerdo de mi madre! ¡Ay, que me está saliendo un grano! ¡Ay, que me gustaría vivir en los árboles!

LA DUQUESA

*(Contagiada.)*

¡Ay de mí, desventurada! ¡Nunca ha de terminar mi martirio! ¡Nunca se ha de aplacar el batir de mis sienes! ¡La tentación me persigue! ¡Ya la siento llegar con todo su cortejo babilónico!

LA ABADESA

Desgraciadas, ¡a callar! No me destempléis los nervios.

*(Contagiada a su vez.)*

¡Ay, que sombra  
me ahogo en un mar de agujeros! ¡Ay, que una me atraviesa la garganta!

*(La luz aumenta, vibra el aire con ondas zumbonas y bemoladas. Por encima del muro del jardín surge y se despliega el tapiz increíble, con sus drapeados fastuosos. En medio de él chisporretea la dragonada enseña de Priapo todo lo esquemática o descriptiva que se desee.)*

LAS SUBLIMITAS

*(Seducidas y horrorizadas.)*

¡oh, desvergüenza inaudita! ¡oh, indecente joyería...!

LA ABADESA

¡Malvado persecutor, repliega esa espantable diversión, recógete esas colas de lujo y baja esos penachos de satisfacción infame...!

EL RABOSO

*(Palpando la estofa con curiosidad.)*

Es buen sastre el que conoce el paño. Esto es género superior, seda pura, dulcísima y esponjosa.

LA ABADESA



*(Con indignación.)*

Retira de ahí tus manos, gorrino. no excites más la inmundicia ni remuevas el escándalo.

LA VOZ DE MAL-RODRIGO

Es vana indignación la tuya. No has de evitar lo inevitable. La Duquesa ha de ser mía, ha de abismarse en mis pliegues, caer en la seda, confundirse en la maraña. Dámela sin mayor tregua, pues ella misma, ya lo estás viendo, acepta desde ahora su gozoso destino, que yo soy el gran misterio deseado.

SOR JUANA DE LA COZ

*(Cae y se revuelca en trance de gritos y quejidos taladrantes.)*

¡El demonio y la carne!... ¡Los enemigos de la mujer!... ¡Los cuatro jinetes del Apocalipsis!... ¡Como tú me desearas!... ¡El acorazado Potemkim!... ¡Roma, ciudad abierta!

LAS SUBLIMITAS

*(Alteradas.)*

Tremendas jaculatorias, diabolescas máximas. ¿Qué mala magia la inspira? ¿Quién le ha puesto en la cabeza tan confuso repertorio? ¡oh!, cuánto espíritu malo acecha entre el rebaño de los negros.

SOR JUANA DE LA COZ

¡Chaplin, Lubich, Abel Gance! ¡Buñuel, Losey, Von Stroheim!

LAS SUBLIMITAS

Cuántos, cuántos la avasallan y la tienen malmolida..

CEFERINA

*(Que entra intempestivamente con una cesta de huevos colgada del brazo.)*

¡A los buenos días! Aquí están las diez docenas de huevos que su maternidad me había encargado. Pero... ¿qué es esto? El Mal-Rodrigo no da descanso. ¡Vaya un asedio! Y qué tela tan bonita ha sacado esta mañana. Esto es seda original venida de algún ultramar reciente. Son cosas que no se encuentran en el comercio.

LA ABADESA

¡Qué desventura la nuestra! ¿También tú has de perderte por voluntad en los volantes de este desalmado?

CEFERINA

*(Va a palpar la tela del tapiz y éste se repliega con ruido de sonajas.)*

Maleducado, grosero. ¿Qué te he hecho yo para merecer estos desaires?

*(Deja en el suelo la cesta de huevos y se enjuga las lágrimas.)*

LA ABADESA

Nada hay que hacer. Perdidas estamos. No hay remisión. Quítate ya de mi vista, Ceferina, descocada; y vosotras, mis ovejas, tratad de recobraros, llevaros de aquí a esas desgraciadas que arrastran por los suelos, impedid que se ahoguen en la seda que aquel granuja nos tiende a los pies.

CEFERINA

*(Con descaro.)*

¿Y qué hago yo de estos huevos concebidos con tanto gusto por mis gallinas?

EL RABOSO

Te los comes uno a uno, tentadora, saltatriz. Anda y métete en tu camisa a llorar ese despecho escandaloso.

CEFERINA

*(Se pone un par de huevos en el escote y luego se los aplasta con sendos azotes.)*

¡Así soy yo! ¡Capón, me las pagarás! Con mi boca de margarita soy capaz de degollarte el rabo.

LA ABADESA

¡Iluminadme, cielos! Poned en mí el grano de una solución inmediata. Con éstas, doy parte al obispo y mando un telegrama de cien palomas mensajeras al santo y sentado Papa de Roma.

*(Las Sublimitas se agitan desordenadamente, levantan sus tocas y sus rostros aparecen con caretas de gestos extremados, de ojos saltones y lenguas de Toribio.)*

LA DUQUESA

¡Ven lluvia de apagafuegos! ¡Señor, vuelca sobre mí tu Jordán, ahoga la tentación que me estrangula!

LA ABADESA

Hijas, ¿quién os ha vuelto las caras del revés? ¡Ay, qué desdicha! Recogeros esos ojos que se os pasean desatados! ¡oh, qué lenguas de mastín os hace vomitar la fiebre!

EL RABOSO

¡Se ha declarado el estado de celo! ¡Ay locura de ropasuelta, pelo de tormenta, mundo que va a reculones!

CEFERINA

*(Bailando endiablada.)*

¡A la jota, jota de la mala pata... A la pata, pata de la poca lacha... A la lacha, lacha de la mucha panza... A la panza, panza de la mala jota..

*(Gran confusión. El teatro se oscurece. De entre las poseídas se hace paso el ciego con sus gafas refulgentes como faros en la galerna. Hace un gesto de director y todas quedan estáticas. Baja sus brazos, y las poseídas en un flojo suspiro abatidas, se van deslizando hacia la salida silenciosamente.)*

EL CIEGO

Y lo bueno llega ahora. Como veis, el Mal-Rodrigo no quiere dar tregua. En esto habrá de mezclarse el Santo obispo de Alcalá de las Indias, que viene a parlamentar con la Abadesa. Es un obispo santísimo que sufre de tercianas crónicas y viene de una de aquellas provincias sobrantes del otro lado de los mares, poblada de negros con cabeza



de chino; gente pagana que se bautiza con chocolate a espaldas de la Iglesia. Con su valor misionero acaso traiga un refuerzo al sonajero pecho de la Abadesa. Todo se prepara para su llegada y aquí está el sarasa improvisando un estrado en medio del huerto potajero del monasterio.

*(El ciego se retira; la luz aumenta.)*

## EL RABOSO

*(Colocando dos sillones, el uno frente al otro, canta.)*

*En un valle caliente hay un convento  
y en el convento hay tres tejas rotas,  
una escalera de clavos,  
una torta mojada en vino;  
hay un convento y en el convento  
hay un pesebre de laurel, una tormenta de cobre, una palomita sentada...*

*(Deja de cantar. Mira a un lado y a otro con recelo y se acerca a la valla por donde hizo su última presentación el Mal-Rodrigo.)*

¡Eh, Mal-Rodrigo! Págame la confidencia con uno de aquellos regalos por los que sabes que me pirro. ¿Me escuchas...? La Duquesa en su celda se hunde las uñas en las caderas. La tienen prisionera a pan y agua. Dos centinelas hay a su puerta que lloran como las conchas de una fuente. De allí no la dejan salir y la pobre ha de mear gota a gota, esperando para destilar la segunda que la primera gota se evapore. Formas tiene - no hay engaño- de una gran señora de medio cuerpo.

*(Detrás de la valla se expande una nube de humo.)*

Ah, ya veo que me has oído. Anda, salado, a ver qué me regalas. Sabe que por ciertas frivolidades puedo poner mi rabo al cobro.

*(Caen detrás de la valla una como bata bordada al modo de Manila, un abanico y un puro encendido.)*

Gracias rumboso! ¿Cómo se aplican estas galas?

*(Se pone la bata.)*

Nunca he visto un bordado tan fino, todo él hecho de pecado a realce. ¡Y un abanico!

*(Lo toma y se abanica.)*

Y viene perfumado de viento marítimo. Y un puro para darle vigor al afrodisíaco. ¡Chulapón, cómo me entiendes!

*(Queda el sacristán raboso ambiguamente vestido de chiste canalla. Entran cuatro Sublimitas con mandiles de cocineras.)*

## LAS CUATRO SUBLIMITAS



Qué guapo está Miguelín con ese traje de rey mago.

EL RABOSO

*(Contoneándose.)*

Así se marca la liturgia, así se pisa por el templo de Salomón.

LAS CUATRO SUBLIMITAS

Qué guapo está Miguelín vestido de ángel desdeñoso.

EL RABOSO

Así se arrancan los placeres del paraíso; así se funda una sucursal.

LAS CUATRO SUBLIMITAS

Qué guapo está Miguelín disfrazado de sí mismo.

EL RABOSO

Así se derrocha mi persona, así se corrompe la vara de nardos.

*(Aspira el humo de cigarro.)*

¡Ay, qué cañas de La Habana quema ese dichoso rufián!

LAS CUATRO SUBLIMITAS

¿Tan bueno está? Danos una brizna siquiera de esa sustancia regalona.

EL RABOSO

¡Non de nones! ¡Una droga tan perniciosa! Y ya no hay tiempo. . .

*(Señala el cielo.)*

Aquella banda de vencejos monaguiles anuncia la llegada de Su Eminencia.

*(Tira el cigarro y lo pisa.)*

LAS SUBLIMITAS

*(Palmotean y hacen cuadro de recepcionistas.)*

¡Bien venido el santo obispo, llegado de Alcalá de los Mares Secos, en una balsa de nueces, con un estandarte de viento.

*(Entran la Abadesa y el Santo obispo, muy venerable y temblón, con un traje medio de peregrino. Lleva al canto un salvaje enano de alguna raza deletérea, adornado de muchas plumas, cargado con un zurrón y enarbolando una lanza que ha florecido por algunas partes.*

LA ABADESA

Que su Reverencia tome asiento y se aplique a desbrozarme los sesos de tantas y tan graves preocupaciones.

*(Al raboso.)*

Una almohada para estos pies cansados de saltar por los paralelos y meridianos con la Santa Palabra entre los dientes.

*(El sacristán, luego que se ha sentado el obispo, coloca una almohadita a sus pies, pero éste advierte su cola diablera e interroga a la Abadesa.)*

EL SANTO OBISPO.

Habr  su Maternidad de perdonarme esta curiosidad inoportuna, pero observo que, en contra los dictados de vuestra regla previsoras, ten is un sacrist n en lugar de una sacristana. Y con este rabo que azota el polvo tampoco me deja muy sosegado.

LA ABADESA

Aquel rabo es lo de menos. otras gracias inocentes le adornan para nuestro recreo. Es un muleto hembrado, hijo de una jumenta muy servicial que hubo anta o en el convento y de un mal aire semillero que a veces llega de las monta as. Desde peque o se ha criado entre nosotras, triscando por este jard n y nos es muy fiel. Un guardi n muy celoso de los precintos de esta casa.

EL RABOSO

*(Alzando el rabo y mostrando las pest feras al Santo obispo.)*

Un ojo azul tengo aqu  que todo lo analiza con mucho garbo, cuenta las hormigas, las flores del campo, los cabellos que se pierden, la sombra de los pasos y la creaci n de todo lo bajo y superbajo.

EL SANTO OBISPO

*(Haciendo pantalla con una mano y retirando la vista.)*

Basta, pues; si la mirada no eng a, creo en su inocencia. Perdonad mi suspicacia. Y ahora, madre Abadesa, confiadme vuestros secretos y dolores, dibujadme con todo detalle el laberinto de vuestra conciencia.

*(Suena una campana. Departen la Abadesa y el santo obispo, mientras las Sublimitas dan vueltas a su alrededor gangueando este c ntico):*

LAS UNAS

Vela, vela y se desvela la santa conversaci n.

LAS OTRAS

* Aleluya coeliiii...!*

LAS UNAS

*Baldaqinos y palmas para los dictados romanos.*

LAS OTRAS

* Aleluya coeliiii...!*

LAS UNAS

*Pregunta de mieles y respuesta de ma z.*

LAS OTRAS

* Aleluya coeliiii...!*

LAS UNAS

*El obispo propone y el obispado dispone.*

LAS OTRAS

*¡Aleluya coeliii...!*

TODAS *Que la luz se rompa en granos para ver la solución.*

EL SANTO OBISPO

*(Dando por terminada la conferencia.)*

Estos son tiempos de guerra y de gravísima disputa. Yo doy la señal de la Cruzada y otorgo la lanza de la primer acometida.

*(A una señal del obispo el enano ofrece a la Abad esa su lanza, que ésta toma con mucho acatamiento.)*

Animo, hija mía, denuedo, oración y perseverancia. Mi bendición os acompaña y sobre vosotras vierte las indulgencias de toda la tropa celeste.

LA ABADESA

*(Alzándose con la lanza en la mano.)*

Sea como lo dispone vuestra Eminencia. El valor se aloja en mi pecho y toma en él asiento seguro para afrontar el sacrificio.

Guau, guau!

EL SANTO OBISPO

Bendita sea la Santa Contienda. Y ahora, para celebrar el acuerdo, demos fuego a nuestras almas con dos tazas de valiente chocolate. Es vieja costumbre mía servirme de ese mono redimido y confitero para elaborar ante mi vista, por donde vaya, unos barros de cacao que le pongan algún punto y aparte a la afición de mis ayunos.

*(Da la orden al salvaje enano, que saca un mortero y se pone a triturar el cacao, luego de haber dispuesto en el suelo una lamparilla y un recipiente para elaborar el chocolate. El raboso viene a oler lo que se guisa.)*

EL ENANO DELETEREO

¡Gua Gua!

EL RABOSO

*(Que ha dado un respingo asustado por los ladridos del deletéreo.)*

¡Torta humana! ¿Qué dices con esa voz en los pies? Como yo te guiñe mi ojo le irás a ladrar a tu madre.

EL SANTO OBISPO

¡Separadles!, que todas las razas tímidas sólo se entienden a golpes.

*(Se cubre el cielo, suena una bocina terrorífica. El obispo y la Abadesa se vuelven hacia todas partes, inquietos, el deletéreo deja caer su mortero y ruedan lamparilla y recipiente. Murmullos asustados de las Sublimitas.)*



## EL RABOSO

¡Atiza! El Mal-Rodrigo prepara una respuesta. El sol gotea apagado. Suenan las bocinas del miedo...

## LAS SUBLIMITAS

¡Suspiran las bocas de la tierra! ¡Miserereeee!

*(Se escucha un prolongado grito de la Duquesa. Nueva confusión. Se Hace paso el ciego en un círculo de luz relampagueante.)*

## EL CIEGO

¡Ran, raca, raca, raaan! El final ha llegado, va a librarse la gran batalla. Tiembla el rey Dieciocho metido en su cama estrecha, arropado con hojas de malvavisco; de un síncope ha muerto el ex-ministro de la Decencia. En la mal cuajada patria ha explotado sin amarras el estado de celo. Aquí llega la Duquesa escapada de su ropa y disuelta en el aire. ¡Sujetadla, que se pierde!

*(Llega la Duquesa en plenas carnes encendidas. Las Sublimitas intentan cubrirla y reducirla.)*

## LA DUQUESA

¡Mala entraña, feroz embudo saborea tu femenino pastel con deleite y orgullo fiero ¡Ya has ganado la partida galante! Sea yo tu esposa picada, tu manzana partida por el eje, pase ya por el desconocido y sin igual suplicio.

## LAS SUBLIMITAS

¡Sujetadla, sujetadla! ¡No podemos, no podemos! ¡Ya se desgarrá el vacío, rueda la cuesta, se escurre el pozo!

## LA DUQUESA

¡Máquina de trituraciones, mala entraña, feroz embudo ya me lleva la marea de espumas calientes, el rebosado hervor colorado, ya me tientas con tu despenadero, con el vuelo de tu gran molino. . . !

## EL CIEGO

*(Levantando su voz por encima de la confusión.)*

¡Cómprenme el programa de la ceremonia, el romance solfeado del Mal-Rodrigo, con todos sus espantables designios, con todos sus maldecidos secretos...!

EL SANTO OBISPO *(A la Abadesa.)*

Hija mía muy dilecta, lucha con fuerzas, usa de tu lanza y resiste, pues yo muero en este preciso momento del escándalo y la fatiga. Yo daré parte en los cielos para un inmediato remedio. Ya me ha llegado el momento de mi deseado ascenso. Señor, ábreme tu caja de algodones, encástrame en ella y ponme al reparo de este mundo disoluto, partido en piedras tan menudas que nunca se llegarán a juntar.

*(Muere y se queda tieso y en pie.)*

## LAS SUBLIMITAS

*(Han logrado sujetar a la Duquesa por el pelo soguila y ahora ven cómo el Santo obispo asciende a su nuevo destino en el otro mundo, lo cual hace lentamente, con sus manos en oración y los ojos bien cerrados.)*

¡Santo y sal del santoral, desde la corte celestial, libranos del aturullo y del mal!

#### EL ENANO DELETEREO

*(Desolado y saltando por alcanzar las vestiduras en vuelo recto del Santo obispo.)*

¡Guau, guau! Pater, no me dejes solo. ¡Aúpa! ¡Llévame contigo! ¡Guau, guau! ¿Qué será de mí en este mundo de otras medidas? Señor, ¡ya te vas al cielo! ¡Ay, señor, no me abandones! Señor, ¡mándame una enana! ¡Guau, guau! Guau, guau!

#### EL CIEGO

Campanas y terremotos, fiesta y locura! ¡Cómprenme el programa de la ceremonia, el romance solfeado del Mal-Rodrigo, con todos sus espantables designios, con todos sus maldecidos secretos...!

#### LA ABADESA

*(Montada a caballo sobre el sacristán y enarbolando la lanza.)* Encerradla en una celda, vestidla de sombra espesa, que yo aguzaré mi lanza contra el insensato tragadero y disputaré su empeño. Piquería de serafines, ballestería de Santos, legiones fulminantes, granaderías del trueno, asistidme en esta empresa, escoltadme con vuestra imperial potestad.

*(Prisas y tropezones en la orquesta. Todo se oscurece y sólo queda un astro rojo planeando sobre los espectadores. Inmediatamente, de la negrura, surge el coro, el pueblo de Madrid en romería, con guitarras y cestas de merienda. Un alguacil en cabeza con una pancarta que dice: POR ALLI SE VA A LA BOCA.)*

#### EL CORO

*(En ritmo de pasacalle.)*

Máquina de trituraciones, mala entraña, feroz embudo esta es la romería del Mal-Rodrigo. No perdamos un detalle del espectáculo. La curiosidad nos pone en dos pies. El pueblo de Madrid se ha vuelto bípedo, el miedo le ha puesto una guitarra en los brazos y los ajos en el sombrero. ¡Viva el diente y la carne! ¡Vivan la serpiente y el conejo!

*(La simpática gentuza se va por un cauce abierto en el Mar Negro y ahora se escucha un ritmo seco y acompasado de reloj que cuenta sin fatigarse el aprisionamiento de la Duquesa. Una celda, también oscura, y calabocin. Allí está ella amarrada por los brazos a unas cuerdas que penden de lo alto. De su cabellera, con raya en medio, le ha sido tejida una malla de penitente que le llega hasta las rodillas. A su lado en una cesta mullida con buenas pajas y dotada con una base de balancín, está Sor Juana de la Coz, leyendo en un breviario a la luz de una vela próxima. El ritmo graneado se apodera de la escena. Dulcemente, Sor Juana se balancea en la cesta y lee, muy aplicada; pero tras un rato, se alza levemente, se saca un huevo de los que tiene debajo y lo mira al trasluz de la llama. Vuelve a colocarlo en la propia empolladera y sigue leyendo.)*



LA DUQUESA  
(*Lamentosa.*)

¿Quién soporta la incansable cinta del tiempo pasando por mi frente y haciendo un surco que me taladra? Anda, gallina fría, suéltame de mis amarras y déjame ir de una vez a probar mi martirio.

SOR JUANA

¿Otra vez con tus quejidos? Nada de eso. Ni un momento puedo abandonar mi sentada de avicultora. Estos son menesteres muy sufridos y de muy probada vocación. Reza, hermana, y no me cortes mi calorada, que puedo caer en falta con el inquisidor crestudo de nuestro corral.

LA DUQUESA

¡Socorro! ¡Sáquenme de la presencia de esta insensible incubadora!

SOR JUANA

¡Ay, Jesus, qué atolladero! Reza y calla, malvada, que me vas a cortar mi calorada.

LA DUQUESA

¿No hay piedad para mí? ¿Es que voy a morir para siempre encerrada en este matasoles?

SOR JUANA

No te quiero oír, no hay quejas que valgan. Ya verás, como hagas que me levante de mi sentada y que por tu culpa maldita pierda mi calorada...

LA DUQUESA

¿Por qué no te cae una nevada que te deje descalorada para siempre, gallina turca?

SOR JUANA

(*Volviendo a sacar otro huevo y mirándolo al trasluz de la vela.*)

¡oh, que alteración en estos vasos! Si por tu culpa me salen cuervos, ojalá te piquen los ojos hasta la última pepita. ¿Se ha visto mayor castigo? A tu vera me han dejado para guardarte porque cumplo este sereno trabajo de oficina y me vas a desbaratar todo el expediente.

(*Se escucha el girar de una llave chascadora y entra el Raboso con sigilo.*)

EL RABOSO

¡Uy, qué oscuridad tan fecunda! ¿Cómo va la reverenda madre en su cluecada?

SOR JUANA

Molida, Miguelín. Esta tanda no se me logra por la revoltosería de aquella fatalista.

LA DUQUESA



Insolente y desquiciado portero, ¿quién te envía a martirizarme? ¡Ya se han descompuesto las bisagras del convento! ¡Llegue hasta aquí la plaga de Egipto, el moro en lo alto de su camello!

EL RABOSO

*(Arrodillado al lado de la cesta, la hace balancearse.*

*A la nana nana de los cien pollitos de la tía Totana...*

SOR JUANA

Cuidado, Miguelín, que me mareo. No me batas con tanta fuerza. ¿A qué has venido, si se puede saber?

EL RABOSO

A divertir a la Duquesa de sus insolubles pesares. Ahí fuera quedan esperando unos campesinos de los que brotan a la señora en el dominio de sus campos entre grillos y toros. Es muy buena gente parda y han recorrido todo Madrid hasta dar con esta casa. Traen muy buenos regalos en sus cestos, peras y morcillas, para remediar la anemia que produce el deseo de Mal-Rodrigo.

LA DUQUESA

Así me pisotea la suerte, así se burla mi destino, enviándome esos demonios viajeros a lastrarme con sus presentes. ¿Y han de verme tan mal vestida y tan corta, a mí, que me enseñaron a no tener rodillas?

SOR JUANA

¿Te has vuelto loco, Miguelín? ¿Con visitas a estas horas, a entibiarme la calorada? ¿Qué estás tramando?

EL RABOSO

*(Sacando de entre la sotana una gran caperuza negra y poniéndosela a Sor Juana hasta cubrirle la cara.)*

Eso tiene el remedio de la caperuza. Ya es noche cerrada para su cluequez reverenda. Las visitas quedan mudas y censuradas.

*(Sor Juana queda inmovilizada.)*

LA DUQUESA

¡Fuera de aquí! ¡Que no entren! Ah, insolente, majadero. Desgraciada yo. Muera de una vez planchada por la humillación de un sacristán.

EL RABOSO *(Con un dedo en los labios.)* ¡Sssscht! Silencio en la empolladera.

*(Haciendo una seña en dirección a la supuesta entrada.)*

Entra, Ceferina, y desata conmigo estos ligámenes tan duros.

*(Mientras el Raboso desata con celeridad a la Duquesa, Ceferina entra y se postra a sus pies.)*

CEFERINA

Perdón, señora, perdón. Concededme un instante y no escapéis. Mi intención es sólo daros sostén y compañía en esta hora definitiva. Dejadme seguiros hasta el último momento, que quiero ser la secreta camarera de vuestras bodas.

LA DUQUESA

*(Levantándola con muy buena cinematografía en sus ojos húmedos.)*

Ah, infeliz, y cómo le amas. Conmigo vienes a perderte. ¡Miserables de nosotras! Huyamos más bien las dos, escapemos a la zarpa de tan grande fatalidad. Sacristán, ¿por qué me entregas? ¿Quién te manda darme suelta?

EL RABOSO

La Ceferina es mi compradora. Me ha soplado un chinarro que en el ojo azul me molestaba. Ha sido una atención muy cumplida, porque yo tengo muy fino parpadeo en esta morada tan sorda. ¡Y basta ya de palique! El pueblo se ha descapotado y espera en la plaza a ver quién es la primera que cae en aquel baño de placer sin nombre conocido.

LA DUQUESA ¿No se llama Mal-Rodrigo?

EL RABOSO

Sólo por encima. Por debajo es todo silencio y es mejor para la decencia.

CEFERINA

Ay, señora, llevadme, que no me quede sin baño, que no vuelva a despedirme rebotada. ¡Así obra el vanidoso, así mata el encaprichado, con tan negros desdenes, con tan pícaras veleidades...!

*(Viene una onda de murmullos del pueblo en expectación.)*

EL CIEGO

*(A lo lejos.)*

¡Cómprenme el programa de la ceremonia, el pringoso romance del génesis mundial, con el Mal-Rodrigo de las mil cabezas y los mil sementadores duros como picas con todos sus espantables designios, con todos sus maldecidos secretos...!

*(Ceferina toma de la mano a la Duquesa y quiere arrastrarla, pero en este momento se presenta la Abadesa con la lanza en ristre y una soga que, anudada a su cintura, se tensa y tira de ella con sacudidas periódicas hacia el interior. A la vez que declama, intenta desligarse y zafarse.)*

LA ABADESA

¡Alto ahí! Desdichadas criaturas. ¿No habréis de hacerle frente a la puerca solicitud? Abrid bien vuestros ojos y mirad cómo se decide el final del Mal-Rodrigo. Con esta lanza de la Cruzada, con este ánimo combativo, se convertirán en nada las solicitudes del monstruo.

LA DUQUESA *(observando la cuerda raptora con estupor.)*

¡Ay, qué funesto milagro! Tanto ánimo de resistencia y ya la tiene ligada.

CEFERINA



¡Socorro, que la levanta! ¡Ayuda, que va rendida!

CEFERINA Y LA DUQUESA *(Ayuntadas en et dúo.)*

¡Así obra el vanidoso, así mata el encaprichado, con tan fieros desdenes, con tan pícaras veleidades!

*(Vuelven a entrar todas las Sublimitas amontonadas, mientras la Abadesa se debate.)*

LAS SUBLIMISTAS

¡Ay, nueva consternación! ¡La santa Abadesa corre al martirio, a redimir aquellas entrañas tan morenas!

LA DUQUESA Y CEFERINA *(Tirando de la cuerda.)*

¡No se la dejéis tragar, no la abandonéis a su pérdida!

¡Ya no hay redención en ella, sino turbación y delirio!

LA DUQUESA

¡Ay, sacrificio de mujeres!

CEFERINA

¡Ay, corazones burlados!

*(El Raboso alza su bonete, que jamás había levantado desde el comienzo de la acción, y deja escapar una inconmensurable melena colorada en forma de surtidor, que casi le cubre la cara. Se despega del suelo en un salto descomunal agarrado a su propio rabo, y comienza a dar vueltas alegres en torno de las tres poséidas. Estas forcejean, caen, se levantan y son arrastradas varias veces. Ahora las Sublimitas también intentan retenerlas, y así se va formando un tren fatídico y lleno de achuchones.)*

LAS SUBLIMITAS *(Forcejeando.)*

Por las cosas de la vida... ¡Miserere! Por el curso de la Historia... ¡Miserere! Por el coro de las musas... ¡Miserere! Por el pelo de la dehesa... ¡Miserere...!

*(Tremendos tirones.)*

¡oooh! ¡Ya se desgarran el vacío, rueda la cuesta, se escurre el pozo...! ¡oooh!

*(Todas salen arrastradas. Allí queda encaperucitada y tranquila Sor Juana, que lentamente se balancea. Luego levanta el paño y mira a su alrededor.)*

SOR JUANA

No hay nadie.

*(Extendiendo los brazos.)*

oh, qué espacio tan despejado para la siembra de pollitos. Hijos de mi alma, cebolletas de pluma, caireles de mi corazón.

*(Vuelve a sacarse un huevo y lo observa.)*



¡Vaya! ¡No espero más! Qué parsimonia tan terca se usa en la Naturaleza.

*(Cascando el huevo.)*

Sal, hijo, y mira esta baldosa que es tu patria sacrosanta, en la que has puesto el pie por primera vez.

*(Pero lo que saca es una víbora engarabitada en sus dedos, que sacude con horror, saliendo de la cesta y corriendo de un lado para otro.)*

¡Ay, destino con desatino! ¡Un huevo serpentífero! ¡Cerefina! ¡Ha sido ella, la mentecata, quien me ha gastado esta burla tan campechana! ¡Huevos de alimaña! ¡Traidora! ¡Yo, dando vida a esta ponzoña! ¡Me muero, me muero! ¡Auxilio! ¡Sabandijas, sabandijas...!

*(Del fondo del nido se levantan las pequeñas alimañas bayaderas. Sor Juana desaparece, mientras cambia el decorado entre relámpagos y apresurados martillazos de mudanza.)*

*(Es la calle del Principio, muy ensombrecida. El pueblo espera encaramado en negros grupos. Hacen guardia los alguaciles y preside el Alcalde oficiante. Cubriendo el pozo hay una pequeña ciudadela de caña y papel pintado con los motivos del drama. De la ciudadela sale la cuerda que va a perderse muy tensa en el interior del convento. El ciego se desplaza de un lado para otro con su guitarra en bandolera y repartiendo pliegos. El pueblo se acomoda en el zumbido de las grandes expectaciones.)*

#### EL CIEGO

¡Cómprenme el programa de la ceremonia, el funeral de la carne gozada y pereciente, el horroroso responso de la mala follada, con todos sus espantables designios, con todos sus maldecidos secretos...!

#### EL CORO

¡Qué imprevistos son los pecados de la carne! ¿Quién comprende la frivolidad de esta bestia, lo caprichoso de sus mortales coqueteos?

#### EL CIEGO

¡Cómprenme el programa de la ceremonia, la carrera por el túnel lleno de sebo, el chapuzón en el rodal más fermentoso de la manzana, los fatuos fuegos artificiales, el embeleso de la besa-miel y el embutido del endiosamiento. . . !

¡Zape! Zape!

#### GRITOS DEL PUEBLO EN EXTASIS

*(Suena un clarín.)*

#### EL ALCALDE OFICIANTE

¡Como presidente de esta lidia de dragones y mujeres pido respeto y prudencia de continente y de lengua al soberanísimo pueblo!

## VOCES DEL PUEBLO INDIGNADO

¡Quita de ahí, mantecón, pacifista, baloncesto...!

EL ALGUACIL MAS GORDO ¡Silencio! De orden del señor alcalde, la ciudad de Madrid queda detenida.

## UNA SOLA VOZ BURLONA

¡Calla, meticuloso!

*(Se intensifica el clima oscuro, ventoso y espantadizo, como de capea pictórica, y la gente se mueve en grumos espesos.)*

OTRA VOZ DEL PUEBLO ¡No empujéis tanto, que vais a correr abajo al pueblo de Carabanchel Alto!

¡Uuuuuuh. . . !

## VOCES CORALES EN EL MENEIO

## UNA MUJER

¿Quién me ha violado de pasada. . . !

## OTRA

¿Quién me tira de la lengua. . . !

## UN HOMBRE

¿Quién es esta familia que no conozco y que tengo subida en los hombros. . . !

## OTRA VOZ DEL PUEBLO

¡Animales! ¡Habéis empujado tanto que se han juntado los pueblos de Carabanchel Alto y Bajo. . . !

*(De nuevo el clarín. La tensa cuerda comienza a correr. Llega el Raboso dando volteretas y untando la cuerda con salivilla. Aplausos. Pero se produce el silencio cuando aparece la Abadesa ligada y todas las demás, empezando por Ceferina y la Duquesa enracimadas a ella. A proximidad del pozo, la Abadesa lucha también por zafarse de las mujeres, y la cuerda parece que remite de sus tirones.)*

## EL CORO

*(En un grave pianísimo.)*

Ya salen las abrazadas, las enracimadas y presas. Ya van derechas al pozo. Todas, todas. ¡Desgraciadas! Las santas, las sablas, las sosas.

Las Sixtas, las Siras, las Saras...

## LA ABADESA

*(Enarbolando la lanza, muy declamator y en circunstancias. )*

Arrastrada y contenida por su furia, enlazada por la cintura, envuelta en tu brazo, salgo a la plaza pública entre gitanos y moros. Tuya soy si tú lo quieres, mas considera bien lo que tragas: conmigo viene la ley, la jaculatoria de Roma, la silla de San Pedro en la

posada de los Apóstoles. Este es el difícil bocado y tu fondo no hallará resistencia ante la santa ofensiva de esta pica de laurel fresco que contra ti ves apuntada. Heme aquí, pues, ilusión de humo, impotente fantasía. Bien sé que no has de triunfar contra quien animosa te resiste.

#### EL RABOSO

¡Así se habla en público! ¡Qué educación tan sobresaliente y qué buen trato de dragones. Pero no hay nada que hacer. A éste no le arredrarán conjuros ni balidos de santo cordero. Lo mismo le dan a él las espumas del Jordán que los rizos del Tiberíades.

#### EL CORO

Bien ha estado la Sublime. Así se torea al deseo. ¡Viva el mundo, viva el miedo y vivan las rojas bocas del españolado misterio!

*(La cuerda vuelve a tirar con fuerza.)*

LA ABADESA ¡No tires más, desalmado! ¡Te reto a desaparecer!

#### CEFERINA

*(Luchando también.)*

¡Ay, santa madre, resistidle con ánimo! ¡No sabéis lo que es el empeño de esta bestia y su irresponsable apetito!

#### LA DUQUESA

¡Huid si aún lo podéis, con la ayuda de Dios desataros!

#### LA ABADESA

*(Tirando.)*

¡Ayudadme, cielos! ¡Ah, insensato tragadero, abre tu boca a la Jerusalem apostólica y devora tu redención!

#### LAS SUBLIMITAS

*(Formando un cuadro numantino.)*

¡Entierro de los vientos, guiso de agujeros, salida sin entrada, historia sin moraleja...!

*(Emoción aderezada con redoble de tambor. La Duquesa y Ceferina destacan entre todas por su forcejeo en el inconfesado propósito de ser tragadas.)*

#### CEFERINA

¡Resistámosle con furia, que muera de nuestro pataleo!

#### LA DUQUESA

¡Que nos devore encendidas, consumidas en nuestra repulsa!

#### EL CORO

¡Viva el hocico de don Juan, vivan sus pechos de al quitrán!



## EL CIEGO

*(Quitándose las gafas y mirando.)*

Milagro transitorio! A la una..., a las dos... y a las tres..... se las traga de cabeza a los pies!

*(Un gran tirón de la cuerda y las tres desaparecen, precipitadas en el interior de la ciudadela. Caen todas las Sublimitas, unas sobre otras. El Raboso se alza la sotana y muestra una pierna con media rosa y zapato de tacón. Lleva una navaja en la liga. Ase de la navaja y la levanta. Con una mano en la cadera y un contoneo infame y desafiante, entra en la ciudadela, y, a poco, ésta se incendia y arde rápidamenteJ dejando ver el pozo que antes cubría. El rumor del público ha ido «en crescendo».*

## EL CORO

¡Fuiiiii...! ¡Fuiiiii...! Máquina de trituraciones, mala entraña, feroz embudo, saborea el femenino pastel con deleite y orgullo fiero. Se ha ganado la partida galante, ya llegó la apoteosis tripera. ¡Fuiiiii...!

*(Y ahora todo se calma, para volver al estupor. Entre fumaradas, asciende la plataforma del pozo con Ceferina y la Duquesa abrazadas y compungidas. Llevan mantillas negras muy largas y la una agarra el rabo cortado del sacristán, mientras la otra sostiene la lanza tronchada.)*

## EL CIEGO

¡Santa Lucía de todos los cegarritos! ¿Qué significa esta novedad? ¿A dónde han ido a parar mi señora la Abadesa y aquel sacristán alegre?

## CEFERINA

¡No hay Mal-Rodrigo! Se ha ido con todos sus aparejos a engañar otro festival. Es una bestia itinerante. Un mal amante escapadizo y traidor.

## LA DUQUESA

Ni rastro queda de ese gitano fugitivo. ¡Ay, qué pena!

## EL ALCALDE OFICIANTE

Así pues, ¿no hay Mal-Rodrigo? ¿Aquel mal que tanto nos seducía?

## LA DUQUESA

Nos ha dejado el país minado por catacumbas. Un entresuelo vacío y lleno de corrientes adversas.

## EL ALCALDE OFICIANTE

¿Y se ha llevado con él al sarasa y la Abadesa? El maldito sinvergüenza nos deja desheredados.

## EL SACRISTAN DESRABIZADO

*(Saliendo con la Abadesa por la puerta del convento.)*

¡Que no, que no...! Haciendo camino estábamos por los sótanos del teatro. La vieja maquinaria se está pudriendo de no usarla. En estos tiempos la escena parece que se contenta sólo con muy serias prolijidades, y todo de boquilla.

### LA ABADESA

En un clavo de la escalera se me ha enganchado el vestido. ¡Uff!, y qué polvareda de ruina. Este edificio se hunde. Cimentado está por las ratas.

### EL CIEGO

Pues ¡cruz y rayal se acabó lo que se daba. Ha llegado la hora de aburrirse. ¡Ay, pobre pueblo burlado, pobre víctima toreada!

*(El coro, con un rumorcito quejoso, se va acercando al pozo, de cuya plataforma ya han descendido Ceferina y la Duquesa.)*

### EL ALGUACIL MAS GORDO

¡Fuera, fuera! ¡Desalojen! Ya está apagada la caldera. ¡Largo, descontentadizos! Aquí sólo se ventean cenizas. Idos antes que la noche nos escupa de este mundo.

*(El coro se arrastra, busca el pozo, extiende sus manos al débil resplandor que de él se escapa, hacen oído en un total silencio. Y se escucha cómo se pierde hasta extinguirse por completo un agitar de cascabeles.)*

Así termina *PELO DE TORMENTA*

**TARGET TEXT 1 : PLAY.**



A HINT OF A STORM

*REOPERA BY FRANCISCO NIEVA*

## *CHARACTERS*

CEFERINA (Randy maja)

THE DUCHESS ( A woman at the end of her tether).

THE ABBESS ( A hardy creature).

SISTER JEAN OF THE GROIN-KICK ( A silly nun).

THE BLINDMAN WITH THE PINE GUITAR.

THE TAILED SACRISTAN.

THE LORD MAYOR.

THE HOLY BISHOP OF ALACALA DE LOS MARES SECOS.

THE FATTEST TOWN GUARD.

THE DWARF.

QUARTET OF TOWN GUARDS

CHORUS OF SUBLIME NUNS

CHORUS OF MADRID PEOPLE

All takes place in Madrid, a long time ago, a little before the end of the world.

The opening scene, Madrid. Streets that end in tracks and tracks that lead to the desert. On one side, the Convent of the Sublimes, on the other, the Duchess' palace. In the centre is a well in which the lecherous beast, called Wicked Rodrigo, has been spawned from the dregs and scum at the bottom. It is a dreadful, timeless day, neither dark nor light. The sun goes where it will and the winds howl. The blind *cicerone* arrives wearing a trailing cape and carrying a rough pine guitar with thick cords.

### *The Blindman*

Dear public, you are here to enjoy this festive *reopera*, a timeless, complex and costly genre: do your best to get used to these prodigious happenings and accept them as realities from an unknown past which you carry within. I can promise you a good time, if music and song don't turn you off. This is Madrid, a royal city and seat of government, founded at the ends of the earth, almost on the edge of the world, whipped by icy winds and singed by infernal heat. King the Eighteenth resides here, with his pockets full of tobacco, propped up by a lazy Inquisition as these are times of weakness and disturbance. And without disturbance there can be no miracles...strums the guitar.

It is difficult to believe in the extraordinary thing born of the dregs deposited at the bottom of this well by the times immemorial which prevail in Spain. I am referring to Wicked Rodrigo, the Madrid dragon who has come up from here with a fierce appetite and lusty loins and has his evil way with the cutest women wiggling their arses round town. Nothing can stop him. No army can hold its own against the daring of this amazing beast. A situation he makes the most of to make us look prats.



I am the blindman with the pine guitar, who sings and chronicles events with some exaggeration, and that's why he opens up to me. He's not lacking in vanity and wishes to leave songs to record his deeds of valour.

.....strums

Wicked Rodrigo, Wicked Rodrigo, let this crowded audience see you, give them a fright and show them how fierce you are!

*pause*

He's not answering yet. He must be thinking up some wicked deed. But there are tell-tale signs and you can see them all around you. Look how deserted the streets are. Notice the heavy sultriness of the breeze. That's what happens when all hell's about to be let loose. All is set for the action to commence and the problem will be worked out in the most unheard of way, as you are about to see.

*(The organ sounds from inside the Sublimes' convent and the choir prays within)*

*St. Casilda of the empty shirt,  
St. Peter with his hen,  
St. George in guard's uniform,  
save us from disaster  
in this haven of virgins,  
pray for us at the throne of St. Peter.  
The kneeler of the Son  
and the coat-hanger of the Holy Ghost.*

#### *THE BLINDMAN*

Those are the starched order of sublimes in their jam and prayer factory, they're scared to death, although they needn't worry, Wicked Rodrigo doesn't like chaste headdresses, low-cut dresses and billowing skirts are more his line.

#### *THE SUBLIMES*

St. Anthony with a child in his arms,  
St. Just with his Sevillian cooking pot,  
St. Barbara with her lightning rod.

*(A flash of lightning without thunder. Some birds, struck by lightning, fall from the sky.)*

#### *THE BLINDMAN*

Take heed at how Nature is protesting and the elements are trembling. And this is just the beginning. Something weird is going to happen. Listen to that wild orchestra and the cowed trembling of violins.

*(To the conductor)*

Maestro, keep calm and don't make a fuss.

*(The town-guards appear with lances and lanterns)*

Here come the town-guards, who keep watch on W.R.'s every movement, without being able to do anything about it.

*(sneezes )*

Their damp uniforms always make me sneeze. They piss in them when they're out around the town.

*THE FATTEST TOWNGUARD*

Why don't you shut up, you big-mouthed, blind-bat, and get out of here with your commentaries. You're the one who stirs this beast up. It's you who eggs him on. Get the hell out of here. Go on, hop it, if you don't want to feel the back of my hand.

*THE BLINDMAN*

Piss off, Pilot, don't come the heavy arm of the law round here. Bullying a poor decent blindman, more decent than your mother was, that's for sure.

*THE FATTEST TOWNGUARD*

Damn you, you pop-eyed, clumsy oaf! Get back to your dark hole and don't get cheeky with King the Eighteenth's Guard. God Save the King!

*(The blindman, half fearfully, half ironically, withdraws into a corner)*

*THE BLINDMAN*

People are fed up of this dosey, half-asleep lot. If W.R. doesn't get rid of them all, one of these days, with a lash of his tail, the fleas that abound in their headquarters will have them.

*(He starts singing the following song, while the guards dance an African dance round the well.)*

*Long live King the Eighteenth,  
dressed in yellow satin;  
Long live the court of Spain,  
doors and balconies ajar;  
Long-live the mountain breeze  
and the Holy Christ of the  
Notaries.  
Olé, olé!  
Long-live Andalusian straw,  
Long-live the pigeons' tails.*

*(The breeze whistles. A shower of black feathers comes up from the well.)*

#### WICKED RODRIGO

*(In the bottom of the well)*

The party's over, cowards, fatalists, pure-blooded Spaniards!  
Bring me another wench for my pleasure, if King the Eighteenth doesn't want me to bring down all the bells under his authority in his royal seat. The towers will grow down into the ground and Spaniards will live beneath the earth, just as the fancy takes me.

*(He finally leaves the well and a fantastic figure, with a thousand gassy, green tongues, hides himself quickly. The guards fall on their arse and get up trembling.)*

#### THE SUBLIMES

*(indoors)*

*St. Ignatius with his beret,  
St. Michael with his Saracen horse...*

*(The nuns' sacristan comes out of the convent, wearing a red cassock, dragging behind him a long tail. He has a half devilish, half effeminate air. he is carrying a bucket of waste, which he cheekily empties down the well.)*

#### THE FATTEST TOWNGUARD



Damned sacristan! Disorderly mob! I've told you a thousand times not to empty the waste down that troublesome well. It's just rubbing salt in the wound. I'm going to cut your tail off, which is a national scandal!

#### THE TAILED SACRISTAN

If the church and the Reverend Mother, who is my patroness, permit it, you daren't raise a hand to me.

#### THE FATTEST TOWNGUARD

Listen, you puff, Don't empty any more buckets down that well or you'll go down head-first.

#### THE TAILED SACRISTAN

Oh, what a state we're in today! Where do you want me to throw it. We've been fertilising the town's water for centuries with the waste from that holy kitchen. It's a tradition, and you can't mess around with tradition.

#### THE FATTEST TOWNGUARD

Empty them down that trumpet you've got for a mouth, you pawn of the devil. If I catch you stirring things up again I'll tar and feather you and string you up by your leg for three days, publicly.

#### THE TAILED SACRISTAN

Is that a threat or a promise? Sounds like fun to me, fun, fun, fun!

#### THE BLINDMAN

*(He sings mockingly)*

*Long live the pearls of the treasury,  
Long live the sands of Valencia*

#### THE FATTEST TOWNGUARD

Shut it you! Damned village idiots. It's a pity W.R. only likes women. You all deserve to go down the well. Even the community of Sublimes who feel so protected by their virginity.

#### THE TAILED ONE

Such dreadful blasphemy! Shame on your malice.

*(singing)*

Wicked Rod shall not prevail  
against the sanctuary of the cloister,  
Here we protect purity  
and reject shame.

*(Dancing at the same time)*

In a warm valley  
there is a convent  
and in the convent  
thirty prisoners of King Herod,  
thirty blind birds,  
thirty little green onions.  
There is a convent  
and in the convent  
a pink sacristan,  
a funeral with many lights  
and a tower full of straw...

THE LORD MAYOR

*(Stamping his feet and threatening the sacristan.)*

Take that, queer!

*(They follow him to the door of the convent and the sacristan slips away.)*

He's escaped

THE BLINDMAN

Hee hee! You're so quick, Miguelín!

*(signs of a coming storm)*

WICKED ROD

Oh would that I had a woman, soft and long-haired; a well- rounded woman, full of hidden places, delightful niches, a woman full of holes like a Gruyere cheese.

THE FATTEST TOWNGUARD

Shut up, super-stud, they're bringing her now.

*(he listens)*

Silence! The time for a show-down has arrived. The procession is on the move. The sacrificial *Maja* is coming, bound hand and foot, sobbing her heart out.

THE CHORUS

*(drawing near and then entering)*

Wretched creature! You are bound to die, being lowered down the well, encouraging our sins and being unfaithful to the village that reared you. Shame on us all. Punishment, punishment and suffering...!

*(The procession appears. The sacrificial 'maja' is carried on a stretcher, very composed amongst pillows, propped up against a painting of Goya<sup>1</sup>. The Madrid people, covered in hats and capes, follow her. The Lord mayor, with his rod of office and the bronze coat of arms of the town, precedes her.)*

LORD MAYOR

Arise, Queen of the May, and go down to satisfy the lust of the fierce lover who awaits you. King the Eighteenth has bestowed upon you the honorary sash of the heroine, the people award you their respect and admiration. Now, be brave. No powers can prevail over destiny. You must go through with it as fate has ordained.

*(Shouting down the well)*

Corrupt beast! This tasty dish is being handed down to you. Reach out your hand for the wretched morsel the townspeople reluctantly offer you.

CEFERINA THE SACRIFICIAL MAJA

If it pleases Your Lordship, untie me. I want to go down as meek as a lamb. Long live Spain and calle Barquillo, where I come from.

*(The Lord Mayor unties her)*

THE CHORUS

Viva! Viva! So demure! Such nut-brown skin! What a dish to be served up. That lecherous swine will make short work of her.

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<sup>1</sup> The *Maja Desnuda* is a famous painting by Goya of a naked woman reclining on a coach, amongst cushions. Its semiotic value here is in the provision of a cultural context for the word *maja*.



*(A platform arises from the depths of the well and the woman, very composed and heroic, her eyes raised to heaven and her breasts escaping from her shift, places herself in the middle and slowly begins her descent.)*

CEFERINA

Farewell my country and my people. Don't weep for the sacrifice of my beauty. This is the joy of martyrdom...

THE CHORUS

Poor wretched creature! Watch her descend. Oh Madrid commemorate this scene in oils. Commission Casado del Alisal, Moreno Carbonero, Gisbert or Desgrain...

*(The names of these painters may be substituted for others, if so wished.)*

Let them win an academy award with it. Miserieeeee.....!

*(They all fall down on their knees, the guards present arms. Ceferina has disappeared. A moment passes. Slowly, the platform rises again with Ceferina crying, her skirt burnt away up to her buttocks - let's say that she is almost naked and her bodice is full of holes. Everybody is amazed.)*

THE LORD MAYOR

What are we supposed to make of this return? Astonishing miracle!

*(The chorus gasps its surprise)*

It seems Wicked Rodrigo's not up to it today. Just as well! Providence is kin. Madrid people raise your hats and rejoice. And you, poor victim, tell us what has happened to you in this foul abyss and tell us why you've returned.

CEFERINA

Presumptuous beast! Disdainful wretch! Who are you, you impotent slob, to turn your nose up at me? Me, so pretty and accomplished, who sews better than the Virgin and St. Anne both put together, a seamstress by profession with an arse full of patience. Me, who can sew the very roads to the foot of the mountains and embroider the celestial dome, if I received an order for it. I repeat, who are you to reject my hourglass figure, my thick, luxuriant hair....? AAH! Hold me you idiots, I'm fainting.

## THE CHORUS

What's the meaning of these complaints and this chewing up of grammatical discourse? She seems to have been wounded in her beauty and powers of seduction and in her seamstress' pride. Coquettish Norma, proud Iphigenia, restrain these outburst in the name of Spanish decency .

## THE BLINDMAN

(chanting)

Randy beast from the bowels of the earth,  
horn that towers over the world,  
cyclonic whoremaster,  
raging whirlwind who drives women mad,  
Bodiless Don Juan  
scandalous wretch....

(At this moment one of the windows of the Duchess' palace is thrown open and an enormous tapestry is let fall, scaled and green like a reptile's skin it is covered with strange markings. A loud scream is heard and from beneath the tapestry a dishevelled Duchess appears, scurrying back and forth and finally taking refuge with the townguard.)

## CEFERINA

(furious)

Here's the one he is after. She's the one he prefers. He's not happy with ordinary fare, now he wants fancy food. That one's the apple of his eye, caprice de Anais, joy of Caiphus, the wanton hussy.

## CHORUS

Yes here comes the merry Duchess, whiter than snow, the one who skates along with a butterfly on her head; pretty, silly and popular like an old-time, Spanish coquette.

## DUCHESS

Salvation and Justice! Wicked Rodrigo pursues me and besieges me with temptation! Help! Open the convent doors. The monster has finally decided me on my pious vocation. Holy Abbess cut off my hair, dress me in sack-cloth, shelter me in your haven of penance. Remove me from the world and the lecherous desires of this lascivious wretch.

## CEFERINA

That stupid baggage, pretending to be so chaste! Made-up doll, dolled-up, affected trollop!

(The doors of the monastery open and the Abbess appears followed by her sacristan, with a candle in his hand. They are followed by the Sublimes' litany.)

## THE SUBLIMES

"Glory be to Brussel's lace!  
 Glory be to Golgota cloth!  
 Glory be to the Loire Chateaux!"

## THE CHORUS

Here come the gentile ones, preserved in aspic, the ones who run away from their own shadow. So pale, so pure, so slow...!

## ABBESS

Let your fears be at an end, gentle lady. Enter our virtuous house come and plant greens in our kitchen garden, come let the sound of bells ring in your ears.

## THE SUBLIMES

Glory be to the rain in May!  
 Glory be to the pheasants of the Appian Way!

## THE DUCHESS

Yes, yes I renounce the pleasures of the flesh, vulgar and odious jewellery. She who becomes a nun is saved from the dragon. I have decided to enter the convent. Virtue can be learnt like the ABC.

## THE ABBESS

Well, come my child, you'll have a good time, I promise. And besides you'll gain entry to heaven with our customs. Say goodbye to your youth. Forget the passing of time. You can't imagine how you can swallow the darkest evening peeling a pile of potatoes.

## CEFERINA.

If she's a woman, she won't be able to do it. She's no better than I am and she won't have the guts for it.



## THE TAILED ONE

We've won! Another bird in the pot. Another one saved from Wicked Rodrigo.

(He shouts down the well)

You won't get your hands on this one, you lecherous swine. Rant and rage! And she was so smooth and creamy. The cream and froth of the best society<sup>2</sup>

## WICKED RODRIGO

Listen you Puff if you show your face once more down the hole, I'll let off a shot that'll send you spinning.

## THE ABBESS

Get along, Miguelín, and don't be silly. Carry that candle properly and let him rot.

## THE LORD MAYOR

That's the sort of example we need. All Spain should live wrapped up in cotton wool in order to save ourselves from the dissolute dragon. But in this waterless land the flesh is weak and full of nerves.

## CEFERINA

OH! I feel dreadful! Oh, I'm choking with thirst!

*(Other strange noises are heard and the tapestry which was hung from the palace window is heaved in rhythmically to the sound of rattles. The Duchess and the Abbess enter the monastery. The doors close behind them.)*

## THE SUBLIMES

Glory be to autumn in the Coliseum!  
 Glory be to the mouth of the river Tagus!  
 Glory be to Naples grapes!  
 Glory be to Béquér's rhymes!

(their singing fades into the distance)

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<sup>2</sup>This is not a collocation in Spanish, so no attempt has been made to use a collocation in the TT.

## THE CHORUS

They're carrying her off, they're locking her up. Now she's one of them, so white..., so pure..., so slow...

## CEFFERINA

So wet!

## THE FAT TOWN GUARD

Shut your mouth, Ceferina. You started out as a heroine and you're going to end up as a slag.

(The townspeople, brutally aping and laughing at Ceferina, humiliate her. There is an explosion of high spirits. A joyous outburst from the orchestra. The people bring out their capes and typical hats and dress up in them to dance *fandangos*. The sun comes out and all returns to normal.)

## THE BLINDMAN

*Fandangos and seguidillos, danza y contra-danza!* Let everybody lift their feet up to dance with the world in the palm of their hand.

## CEFERINA

I'll dance or be cursed!

(she spits into the well)

Even if you don't devour me, I'll soon find a real man who spouts fire, an ordinary Spaniard, you could say.<sup>3</sup>

(*Ceferina dances, everybody dances, but at the height of the dance a foul phallic excrescence is released from down the well, covered with green warts, like smoke-filled balloons. Everybody starts screaming and running away in confusion. It rains coloured confetti.*)

## THE BLINDMAN

As you have seen, the noble townsfolk of Madrid have had their fun stopped. Their impudence and daring has exasperated the beast, and Wicked Rodrigo is not one to hold

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<sup>3</sup> The expression *escupir fuego* has the added connotation of *windbag, braggart*, hence the use of 'to spout'.

back when it comes to letting people know what he thinks, in one breath he has melted all the bells in the area and has opened a volcanic breach in the Puerta del Sol. This windbag of a Don Juan thinks he's in love. 'I love her', he says, whining with the voice of a thousand songbirds. "Bring her to me!" he says with the splash of the Tigris and the roar of the Euphrates. The elements have gone wild and the flocks slip down the mountainside and the wind from the Guadarrama whistles every proposition. The Town, scandalised and cowardly, rushes round searchingly. The pious censors cover their ears, the Minister of Decency has resigned. King the Eighteenth has decreed the lowering of the head as the rolling clouds are injurious to health. And I can do no more than take you to a corner of the convent to show you the rest of the tragedy in great detail.

*(In effect, the scene has changed and the kitchen garden of the order of the Sublimes appears. The blindman withdraws and the nuns come out in single file, the tailed sacristan leads them, carrying a long pull with a triangle attached to it which he strikes periodically. The procession forms a semi-circle. The nuns all wear large white, angular headdresses which cover their faces almost completely. In order to uncover their faces, they have to pull a cord which lifts a veil. The Duchess and the Abbess follow. The former wears a nun's habit but without a headdress to cover her face like the others.)*

#### THE SUBLIMES

(always in chorus)

Holy dish of vegetables which adorns the steps of the altar, anoint our flesh with your peelings, give us the health of broccoli and the chastity of the artichoke, let our spirit live in Lent and our body in green hibernation.

#### THE ABBESS

*(to the duchess, in a soggy state)*

Dry your tears and have faith in the strength of our virtues. Shut your ears to the evil whisper that passes beneath the doors, the temptation which hangs from the very branches of the trees. You are our hostage, our sealed treasure. Come child, make an effort, mortify your flesh, bleed your veins. Wicked Rodrigo will have to stop holding you captive and you have to carry high the banner of our chastity.

#### THE DUCHESS

No, I can't go on. Nothing can prevail against the persecution of this dreadful bandit. The very breeze tempts me, my senses are alive to passion and are giving me sleepless nights. Oh, Holy, Holy Mother the weight of it all oppresses me, my torment gets worse and my resistance weakens.

#### THE ABBESS



Oh wretched creature, wretched are we all! Why do you not follow the example of these sisters? Emulate their spirit of penitence, their rejection of worldly temptation.

*(She takes Sor Juana de la Cruz, one of the figures in the procession of nuns, by the hand.)*

Here is a sister who is an example to behold in adversity: a man with the mouth of a shark followed her to the doorway of this house, but she shut the door in his face. But not before she gave him a kick in the wicked dragon, the wicked Rodrigo, that all men have covered up, sometimes with scant disguise. That is how she came to be called Sister Jean of the groin-kick. It's a name which dampens the most ardent proposals.

*(Sister Jean pulls the strings which hang from the framework of her headdress and the front part rolls up revealing a very expressive mask, full of piety with coloured cheeks and the eyes turned to heaven)*

Her face still retains the vestiges of beauty. Struggle together, take arms and encourage each other in the fight. Say something Sor Juana. Open this button of a mouth and don't make me lose my patience.

SISTER JEAN OF THE GROIN-KICK

*(covering up a bad crisis)*

Ah! My whole body is itching! Ah, I remember my mother. Ah, I've got a spot coming out! Ah, I would like to live in the trees!

THE DUCHESS

*(catching her mood)*

Oh woe is me. My martyrdom will never end! The pounding at my temples will never cease! Temptation besieges me! I can feel it draw near with all its Babylonian courtesies.

THE ABBESS

Shameless hussies, be quiet! Don't vex me.

*(she is also infected by their heat)*

Oh! I am drowning in a sea of needles! Oh a shadow is crossing my throat!

*(The light increases, the air vibrates with loud thumping noises. The incredible tapestry comes over the garden wall with its sumptuous drapes. The dragon motif of Priapus glistens in the middle, as descriptive and detailed as desired.)*

THE SUBLIMES

*(seduced and horrified)*

Such unwonted indecency! Such shameless decoration!

## THE ABBESS

Vile persecutor, fold up this appalling spectacle, gather up this lewd symbol and take down this organ of lechery.

## THE TAILED SACRISTAN

*(fingering the fabric with curiosity)*

It takes a good tailor to know his cloth. This is of the highest quality, pure silk, so smooth and spongy.

## THE ABBESS

*(outraged)*

Take your hands off it you disgusting pig. Don't stir up any more filth or cause any more scandal.

## THE VOICE OF WICKED RODRIGO

You're indignation is in vain. You can't escape the inevitable. The Duchess must be mine. She must lose herself in my folds, fall into the silk, revel in the mud. Give her to me without further ado, you can see that she herself accepts her joyous destiny, I am the great desired mystery.

## SISTER JEAN OF THE GROIN-KICK

*(falls and tosses about in a trance of shrieks and piercing screams)*

The devil and the flesh!.... The enemies of womankind! The four horsemen of the apocalypse! How you desire me! The Battleship Potemkin! Rome, open city!

## THE SUBLIMES

*(nervously)*

Dreadful outbursts, devilish maxims. What evil spirit inspires her? Who has filled her head with such a confused repertoire? Oh what evil spirits await amongst the black flock.

## SISTER JEAN OF THE GROIN KICK

Chaplin, Lubich, Abel Gance! Bunuel, Losey, Von Stroheim!

## THE SUBLIMES

So many of them trying to attack and destroy her.

## CEFERINA

*(who enters stormily with a basket of eggs on her arm)*

Good day. Here are the ten dozen eggs Your Maternity had ordered. But... what's going on? Wicked Rodrigo never gives up. What an onslaught! And what a beautiful cloth he brought out this morning. This is real silk recently brought from abroad. They are things you can't find in the shops.

THE ABBESS

How wretched we are! You too want to lose yourself in the drapes and frills of this heartless creature?

CEFERINA

*(Goes to touch the fabric of the tapestry and the folds are drawn in with a rattling noise.)*

Rude beast! What have I done to deserve this rebuff?

*(She leaves the basket of eggs on the floor and dries her tears)*

THE ABBESS

There's nothing to be done. We are lost. There's no relief from it all, get out of my sight, Ceferina you impudent creature, and you, my lambs, try to compose yourselves. Take these fallen creatures lying all over the floor away from here. Stop them from drowning in the silk that devil has spread at our feet.

CEFERINA

*(cheekily)*

And what do I do with these eggs, so lovingly conceived by my hens?

THE TAILED SACRISTAN

Eat them one by one you impudent temptress. Get along with you and cry yourself to sleep at this shameful scandal.

CEFERINA

*(She puts a couple of eggs down her cleavage and then squashes them with two slaps.)*

That's the sort of person I am, eunuch, you'll pay for this. With my rosebud mouth I could bite your tail off.

THE ABBESS

Saints preserve us! Send me the inkling of a solution immediately. I'm sending a message to the Bishop and one hundred messenger pigeons to the Holy See of the Pope in Rome.

*(The sublimas become agitated and disorderly. They lift their veils and show masks with grotesque gestures, eyes and tongues popping out)*

THE DUCHESS

Fall soothing rain! Lord pour over me your Jordan, drown the temptation that strangles me!



## THE ABBESS

Daughters! Who has turned your faces back to front? Gather up your eyes that are out on stalks. This canine panting has made you vomit out your fever.

## THE TAILED ONE

A general state of heat has been declared. Madness abounds! The world is upside down!

## CEFERINA

Skip, skip, skip on one foot...Foot, foot, foot on one hop! Hop, hop, hop on one jump! jump, jump, jump on one skip.<sup>4</sup>

*(Great confusion. Lights go out in the theatre. The blindman makes his way through those behaving as though possessed, his glasses glowing like ship's lanterns. He makes a gesture, like the conductor of an orchestra, and everyone suddenly stands still. He lowers his arms and the possessed ones, sighing weakly and now subdued, silently slip towards the exit.*

## THE BLINDMAN

Now for the good stuff! As you can see, Wicked Rodrigo will give no quarter. The Holy Bishop of Alcala de las Indias, who is coming to hold court with the Abbess, will have to get involved in all this. He is a saintly Bishop who suffers from chronic ailments and comes from one of those superfluous provinces overseas, populated by negroes with the heads of chinamen; pagan people who get baptised in chocolate, without the church's knowledge. With his missionary spirit he may bring relief to the anguished breast of the Abbess. Everything is being made ready for his arrival and here is the puff rehearsing in the middle of the kitchen garden.

*(The blindman withdraws and the light fades)*

## THE TAILED ONE

*(Placing two chairs, one in front of the other)*

In a warm valley there is a convent  
and in the convent there are three broken tiles,  
a ladder to the cross,  
a biscuit soaked in wine,  
there is a convent  
and in the convent  
there is a manger of laurels,  
a copper-coloured storm,  
A seated dove.

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<sup>4</sup>The lexical items in the ST are chosen for phonological reasons, rather than for meaning. The TT attempts to achieve a similar effect. Verbs of movement are used both in TT and ST.

*(He stops singing. He looks from one side to the other suspiciously and approaches the partition from which Wicked Rodrigo made his last appearance.)*

Hey, W.R., pay me back for this piece of gossip with one of those presents I'm crazy for. Can you hear me? The Duchess in her cell is digging her nails into her hips. They are keeping her a prisoner on bread and water. There are two guards at her door who cry like water from a fountain. They don't let her out of there for anything and the poor thing has to piss drop by drop, waiting for the first to evaporate before dripping the next. To tell the truth, she has the figure of a fine woman from the waist up.

*(Behind the partition comes a cloud of smoke)*

Ah! Now I know you can hear me. Go on you cheeky thing, let's see what you've got for me. You know I'd sell my tail for certain bits of frippery.

*(from behind the partition comes an ornate, embroidered robe, a fan and a lit cigar)*  
Thanks for the generosity. How do you wear this finery?

*(he puts the robe on)*

I've never seen such fine embroidery, all stitched in sin. And a fan!

*(He takes it and fans himself)*

And with the scent of sea breeze. And a cigar to act as an aphrodisiac! You really know me, don't you old devil!

*(The sacristan remains ambiguously dressed as a kind of drag joke. Four Sublimes come in wearing kitchen aprons.)*

THE FOUR SUBLIMES

How cute Miguelin looks dressed as one of the Three Kings.

THE TAILED SACRISTAN

*(Swaying his hips)*

THE TAILED ONE

*(swaying rhythmically to accompany the dialogue)*

That's the way to intone the liturgy, that's the way to dance through Solomon's temple!

THE FOUR SUBLIMES

*(Egging him on)*

How cute Miguelín looks dressed as a haughty angel!

THE TAILED ONE

That's the way to attain the pleasures of heaven; that's the way to found a business!

THE SUBLIMES

How cute Miguelín looks disguised as himself!

That's the way to abandon my body! That's the way to corrupt the perfumed white flower.

*(He breathes in the cigar smoke)*

What fine Havana cigars this ruffian smokes!

THE FOUR SUBLIMES

He's just gorgeous, isn't he! Come on give us a bit of that good stuff he gave you.

THE TAILED SACRISTAN

Non de nones! such a pernicious drug! Anyway, there's no time...

*(he points to the sky)*

That flock of swallows are flying altar boys announcing the arrival of His Eminence.

*(He throws away the cigar and treads on it.)*

THE SUBLIMES

*(They clap and pose as a welcoming party)*

Welcome saintly Bishop who has arrived from Acala de los Mares Secos, in a nutshell with a sail.

*(Enter the Abbess and the Holy Bishop, very venerable and dithering, with pilgrim's garb. He brings with him a savage dwarf from some degenerate race, adorned with feathers, carrying a leather shoulder-bag and an upright lance, which has shoots sprouting from it.)*

THE ABBESS

Pray be seated your Reverence and devote yourself to relieving my mind of so many grave problems.

*(to the tailed one)*

A cushion for these feet tired of jumping from meridians to parallels with the Holy Word between his teeth.

*(The sacristan, when the Bishop is seated, places a cushion at his feet, but the Bishop notices his dreaded tail and questions the Abbess)*

HOLY BISHOP

Reverend Mother must forgive my inopportune curiosity, but against the rules of this Order you have a male sacristan. And this tail with which he beats the dust leaves me rather worried.



## THE ABBESS

That tail is the least of it. He has other innocent attractions for our amusement. He is an effeminate mule, son of a very servile donkey who used to be in the convent and a breeze that blew in from a stud ranch in the mountains. He has served us since childhood, gambolling around the garden, and is most faithful to us. He is a very loyal guardian of the rules of this house.

## THE TAILED ONE

*(Lifting up his tail and showing his smellies to the Holy Bishop)*

I've got a blue eye here that scrutinises everything closely. It counts the ants, the flowers of the field, stray hairs, the shadow of the footsteps, and the creation of all that is lowliest.

## THE HOLY BISHOP

*(Covering his eyes with his hands and averting his gaze.)*

That's enough! If my eyes don't deceive me I believe in your innocence. Forgive my suspicions. And now Reverend Mother, confide in me your secrets and sorrows, sketch for me the labyrinth of your conscience.

*(A bell rings. The Abbess and the Holy Bishop depart, meanwhile the Sublimes run around them chanting the following song):*

The veiled confidences of the sacred conversation reveal truths.<sup>5</sup>  
Alleluia coeli!

## A FEW SUBLIMES

Canopies and palms for the Roman dictats.

## THE REST OF THE SUBLIMES

Alleluia coeli!

## THE FIRST GROUP

Honeyed questions and replies of corn.

## THE SECOND GROUP

Alleluia coeli!

## THE FIRST GROUP

The Bishop proposes and the diocese does his bidding

## THE SECOND GROUP

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<sup>5</sup> There is a play on words in the ST use of *velar*, this meaning to veil. *Velar por*, however, is 'to keep watch over' and *desvelar* 'to reveal', i.e. unveil.

Alleluia coeli!

ALTOGETHER

Let the light break up into tiny crystals in order to show us the solution.

THE HOLY BISHOP

(Bringing to an end the discussion)

These are times of war and grave disputes. I inaugurate the Crusade and bestow the lance for use in the first offensive.

*(at a sign from the Bishop, the dwarf offers the Abbess his lance, which she takes with great respect.)*

Courage, my daughter, valour, prayer and perseverance. My blessing goes with you and the indulgences of the heavenly throng shall be showered upon you.

THE ABBESS

May it be as Your Eminence wishes. My breast is filled with courage with which to make this sacrifice.

HOLY BISHOP

God bless the Holy struggle. And now to celebrate the agreement, let us fire up our souls with two cups of hot chocolate. It's an old custom of mine to make use of this confectioner's monkey to prepare, before my eyes, bars of chocolate with which to put an end to my fasting, wherever I may be.

*(He gives orders to the savage dwarf who brings out a pestle and mortar and starts stirring the chocolate, having placed on the floor a small stove and a pan to make the chocolate in. The Tailed one comes to sniff what is cooking.)*

THE DWARF

Woh Woh!

THE TAILED ONE

*(Who jumps in fright at the barks of the dwarf.)*

Human pancake! What are you saying with that voice that comes up from your feet. Just bat an eyelid and I'll soon give you something to bark about.

THE HOLY BISHOP

Separate them! These weak races always end up coming to blows

*(The sky clouds over and a portentous horn is heard. The Abbess and the Bishop scuttle about. The dwarf lets his mortar fall and the paraffin stove and container are scattered. The Sublimes whisper nervously.)*

THE TAILED ONE

Look out! Wicked Rodrigo is getting ready to answer back. The sun drips weakly. The trumpets of fear sound...

THE SUBLIMES:

The mouths of the earth are breathing! Misere!

*(a prolonged scream is heard from the Duchess. More confusion. The blindman breaks through the crowd in a halo of dazzling light.)*

THE BLINDMAN:

Ra,ra, ra! The end has come, the grand battle is about to begin. King the Eighteenth trembles in his narrow bed, wrapped up in marshmallow leaves; the ex-Minister of Decency had a fit and died. The whole of this distraught nation is suddenly rampantly on heat. The Duchess arrives on the scene throwing off her clothes and revelling in the fresh air. Hold her down and stop her abandon.

*(The Duchess is in a state of brazen nakedness. The Sublimes try to cover her up and calm her down.)*

THE DUCHESS:

Pernicious fiend, vile deceiver, relish this tasty, womanly morsel with fierce pride and extasy! At last, rogue, you have won the match! I shall be your aggrieved wife, your apple split at the core. I am prepared for my unforeseen and unequalled ordeal.

THE SUBLIMES:

Grab her, grab her! We can't, we can't! The earth is opening up

THE DUCHESS:

Devourer of innocents, pernicious fiend, vile deceiver, I am being carried away in a sea of warm suds, of seething steaming heat, dragged down by your landslide, by the gusts of your enormous windmill..!

THE BLINDMAN:

*(raising his voice over the row)*

Who wants to buy the programme of this ceremony, the musical romance of Wicked Rodrigo, with all his dreadful designs, with all his wicked secrets...!

THE HOLY BISHOP:

*(To the Abbess)*

My most favoured daughter, fight on, use your staff and fight on, as I'm about to drop dead this very instant from shock and exhaustion. I will use my influence in heaven to help find a solution immediately. The moment has come for my longed for ascent. Lord, open up your cottonwool box for me, wrap me up in it and take me from this dissolute world, shattered into such tiny pieces that they can never be put together again.



*(He dies and remains stiff, standing up)*

THE SUBLIMES:

*(They have managed to get hold of the Duchess by the scruff of her neck and they watch the Bishop ascend to his fate in the next world, which he does slowly with his eyes raised to heaven and his hands joined in prayer.)*

Saintly saint from the book of saints! From the heavenly court, save us from evil and disaster!

THE DWARF:

*(Desperately trying to jump up and catch the robes of the Bishop as he rises.)*

Wow, wow, Pater, don't leave me alone. Take me with you *(barking noise)* What will become of me in this world otherwise? Your Lordship, now you are going to heaven. Oh, do not abandon me. Your Lordship send me a girl dwarf! *(Barking noise)*

THE BLINDMAN:

Bells and earthquakes, festivities and madness. Who will buy the programme of the ceremony, the musical romance of Wicked Rodrigo, with all its evil secrets..!

THE ABBESS:

*(Mounted astride the sacristan with her lance in the air)*

Shut her up in a cell, dress her like a dark shadow, I will sharpen my lance on that devouring beast and cross swords with him to defeat his endeavour. Flock of seraphim! Quiver of saints.

*(The orchestra is in disarray. Everything goes dark and only a red star glides over the spectators. Suddenly out of the darkness comes the Chorus of Madrid people in festive attire with guitars and picnic baskets. A townsguard leads them with a banner saying THIS WAY TO THE MOUTH.)*

CHORUS:

*(at a slow pace)*

Devourer of innocents, pernicious fiend, vile deceiver, this is the Wicked Rodrigo's festival. Don't miss the show. We're agog with curiosity. The people are on tip-toe. Fear has put a guitar in their hands and garlic on their hats. Long live the tooth and the flesh! Long live serpents and rabbit.

*(The cheerful riff-raff go through an opening in the Black Sea and the steady ticking of a clock is heard which tirelessly counts the imprisonment of the Duchess in a dark dungeon-like cell. She is tied-up with cords hanging from above. From the central parting of her hair hangs a penitent's veil which reaches down to her knees. At her side in a basket swing, lined with straw, is Sister Jean of the Mule's kick, reading a prayer book in the light of a candle. The rhythm of the swing is overwhelming. Sister Jean, sweetly swings back and forth; after a while, she raises herself slightly, takes an egg*

*from the ones she has been sitting on and looks at it in the light of the lamp. She puts it back in the roosting basket and continues to read.)*

THE DUCHESS:

*(wailing)*

Who can bear this tireless ribbon of time passing in front of my eyes and drilling a furrow on my brow. Go on, you chilled hen, untie me and let me go at once to my martyrdom.

SISTER JEAN OF THE GROIN KICK:

Moaning again. I won't hear of it. I can't leave my brooding even for a minute. This is a very painful duty which requires true vocation. Pray sister, and don't take me off heat. I might get into trouble with the crested inquisitor of our pen.

THE DUCHESS:

Help, For God's sake get me away from this senseless incubator!

SISTER JEAN OF THE GROIN KICK:

Heavens, what a to do! Be quiet, hussy. You'll take me off heat.

THE DUCHESS:

Is there no compassion for me? Am I to die locked up in this dank hole?

SISTER JEAN:

I won't listen to you, I don't want to hear your complaints. You'll soon see what happens if I have to get up from my brooding basket and come off heat because of you....

THE DUCHESS:

Why doesn't an avalanche of snow fall on you and take you off heat for good, you old hen?

SISTER JEAN:

*(Picking up another egg and looking at it in the light of the candle.)*

Oh, the shells look different. If they turn out to be crows through your fault I hope they peck your eyes right out. They have left me at your side to keep watch on you because I am fulfilling this sacred office and now you're going to ruin the whole process.

*(A rusty key is heard in the lock and the sacristan enters stealthily.)*

THE TAILED SACRISTAN:

Oh, what eery darkness! How is the reverend mother getting on with her brooding?

SISTER JEAN:

Shattered Miguelín. I can't manage this batch because of the carryings on of that doom-laden creature.

THE DUCHESS:

You hysterical, overbearing old bag. Who sent you to torture me? The convent doors are falling off their hinges. The plague of Egypt is upon us, the Moor mounted on his camel is at our gates.

THE TAILED SACRISTAN:

*(kneeling beside the basket, he rocks it singing a lullaby)*

A la nana, nana....

Will there be a little chick for Sister Groin-kick....<sup>6</sup>

SISTER JEAN OF THE GROIN-KICK

Be careful Miguelin, I feel sick. Don't rock me so much. Why are you here, by the way?

THE TAILED SACRISTAN:

To take the Duchess's mind off all her insoluble problems. Some peasants are waiting outside who have sprung up from milady's domains in the country, amongst the bulls and crickets. They're rough decent sorts and they've all come to Madrid to find this convent. They bring fine presents in their baskets, pears and sausages, to cure the anaemia brought on by her passion for Wicked Rodrigo.

THE DUCHESS:

Is this how fortune treats me, is this how fate mocks me, sending me this riff raff to burden me with their presents? And are they to see me in such a dishevelled state, in such *deshabille*. I, who was brought up never to show an ankle!

SISTER JEAN:

Have you gone mad Miguelín? Visits at this time of night? They'll take me off heat. What do you think you're up to?

THE TAILED SACRISTAN:

*(Taking from under his cassock a black hood with which he covers Sister Jean's face)*

That's soon solved with a hood. Now it's the middle of the night for your broody Reverence. The visitors will be kept quite and under control.

*(Sister Jean remains quiet.)*

THE DUCHESS:

Get out of here! Don't let them in! Oh you insolent lunatic! How wretched I am! Let me die at once, crushed with humiliation by a sacristan.

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<sup>6</sup> "A la nana, nana, nana.." is the traditional opening line of a lullaby and has been maintained in the TT for this reason.



THE TAILED ONE:

(Putting his finger to his lips)

SSSSh!.....silence in the chicken coup!

*(making signs towards the supposed entrance)*

Come in Ceferina and help me untie these tight knots.

*(While the sacristan unties the Duchess, Ceferina enters and throws herself at her knees.)*

CEFERINA:

Pardon me, my Lady, pardon me. Allow me a moment and don't escape. My intention is to give you help and support at this crucial moment. Let me follow you till the last, I want to be the secret lady-in-waiting at your wedding.

THE DUCHESS:

*(Getting up with great cinematographic effect and damp eyes.)*

Oh you poor wretch, how you love him! You are coming with me to your perdition. We will run away the two of us and escape from the grip of such a terrible fate. Sacristan, why are you letting me go, who told you to do so?

THE TAILED ONE:

Ceferina is the one who bribed me. She got something out of my blue eye which was annoying me. It was a very thoughtful thing to do as I blink a lot in this gloomy dungeon. Well that's enough chat. The people are waiting in the town square, hat in hand, to see who is the first to fall in that pool of pleasure, which shall remain nameless.<sup>7</sup>

THE DUCHESS:

Isn't he called Wicked Rodrigo?

TAILED ONE.

Only on the surface, underneath all is silence, better for decency's sake.

CEFERINA:

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<sup>7</sup> *Baño de placer*, originally translated as *pit of vice* had to be changed to the formal equivalent *pool of pleasure* to accommodate the remainder of the image when reference is made to a desire 'to bathe in the pool'.

Oh milady, take me with you. I don't want to miss out on bathing in the pool. I hope he doesn't reject me again, like last time. Such is his vanity, such his way of killing with disdain, killing with capricious fancies.

*( A wave of murmurs from the awaiting crowd.)*

THE BLINDMAN:

Who will buy the programme of the steaming romance of the beginnings of the world, with Wicked Rodrigo of the thousand heads and the thousand studding stallions, hard as spikes, with all his dreadful designs, with all his wicked secrets.<sup>8</sup>

*(Ceferina takes the Duchess's hand and tries to drag her off, but at that moment the Abbess appears with her lance poised and a rope tied round her waist, which from time to time is tugged and jerks her from off-stage. As she is holding forth and ranting, she tries to free herself.)*

THE ABBESS:

Stop right there, wretched creatures. Aren't you bound to resist his disgusting overtures. Open your eyes wide and you'll see how the end of Wicked Rodrigo is decided. With this crusading lance and this fighting spirit, his advances will come to nothing.

THE DUCHESS:

*(Looking with amazement at the rope)*

Oh what a dire miracle! So much fighting spirit and they've got her tied down.

CEFERINA:

Help! They're pulling her off. Help, she's exhausted.

CEFERINA AND THE DUCHESS:

*(together in a duet)*

Such is his vanity, such his killing caprices, such his fierce disdain, such his wicked fancies!

*(They all go indoors, the Sublimes all tumbling on top of each other, while the Abbess debates)*

THE SUBLIMES:

More consternation! The Holy Abbess is risking martyrdom, to redeem his dastardly innards.

THE DUCHESS AND CEFERINA:

*(Pulling the cord)*

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<sup>8</sup> The ST neologism *sementadora* is derived from *semental* or 'stud'. The TT employs 'studding' as a nonce word to convey the originality of the TT version.

Don't let her be swallowed up. Don't abandon her to her fate! There is no redemption in her, only distress and delirium.

THE DUCHESS:

Oh the sacrifices made by women!

CEFERINA:

Hearts that are spurned!

*(The sacristan raises his Bishop's mitre which he has never removed throughout the play and lets down cascading locks of red hair which almost covers his face. He jumps up in a huge leap, grabbing his own tail and starts leaping merrily, running rings round the three possessed women. These three raise up and fall down and are dragged about for a while. The Sublimes also try to hold them down and they end up in a wild procession, pushing and shoving.)*

THE SUBLIMES:

By all that's holy...Misere!....By the history of mankind! Miserere..! By the chorus of muses...!Miserere...! By the banks of the river...!

*(Much shoving and pushing)*

OOH!..

*(They all crawl out. Sister Jean remains quietly hooded, rocking back and forth. Later she take off her hood and looks back and forth.)*

Sister Jean

There's nobody here.

*(opening her arms)*

Oh. such wide open spaces for breeding little chicks, My darling little ones, my little feathered darlings, my sweethearts. Good Lord! I can't wait any more. Why is Nature so slow.

*(she takes out another egg and examines it)*

Come out, son, and take a look at this tiled cell which is your sacred homeland.

*(What comes out is a snake which knots itself round her hands, which she shakes off in horror and which escapes from the basket to slip from place to place.*



Oh what a dreadful fate! A serpentiferous egg<sup>9</sup>! Ceferina, It must have been her the little fool, playing this friendly little joke on me. Traitor's eggs. Traitor. That I should give life to this monster! I'll die, I'll die! Help! Horrible creepy thing.

*(From the bottom of the nest rise little dancing snakes. Sister Jean disappears, while the scene changes amongst lightening and loud banging)*

*(It is a dark street. The crowd wait around in tight groups. The guards are on duty and the Lord Mayor presides over them. Covering the well there is a kind of guard's hut of cane and printed paper showing the motif of the drama. The rope is coming out of the well which is stretched tightly and disappears into the convent. The blindman goes from one side to another with his guitar hanging and distributing leaflets. The people await in burst of hopeful expectancy.)*

THE BLINDMAN:

Who will buy the programme of the ceremony, the funeral of used and dying flesh. the horrendous result of the screwed-up fuck, with all its dreadful designs, with all its wicked secrets....!

THE CHORUS:

How unpredictable are the sins of the flesh! Who can understand the whims of this beast, his fatal flirtatiousness?

THE BLINDMAN: Who will buy the programme of the ceremony, the ride through the greasy tunnel, the burrowing into the most fermented part of the apple; the fleeting fireworks, the sugary sweetness of the syrup, the stuffed, serendipitous sausage.<sup>10</sup>

*(Shrieks from the crowd - a trumpet sounds)*

As president of this tournament between dragons and women I demand respectful and prudent behaviour and language from the honourable people of Lower Carabanchel and Upper Crabanchel....!

*(Outraged voices of the people)*

Get out of the way fat-arse!

THE FAT TOWNGUARD:

Silence: the Lord Mayor of Madrid orders the people of Madrid to be placed under arrest.

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<sup>9</sup> The ST *serpentífero* is a neologism, hence *serpentiferous*.

<sup>10</sup>The TT "El embeleso de la besamiel y el embutido del endosamiento.." are devoid of meaning and rely on alliteration for effect. The ST attempts to recreate a similar effect."

A MOCKING VOICE:

Shut it fusspot!

*(The dark and eery atmosphere increases and everything flaps about in the wind like a bullfighter's cape.)*

ANOTHER VOICE FROM THE CROWD:

Don't shove so much or you'll push Upper Carabanchel into Lower Carabanchel.

A CHORUS OF VOICES:

OOOOOOH!

A WOMAN:

Who was it that just raped me in passing?

ANOTHER WOMAN:

Who's messing about with me?

A MAN:

Whose is this family sitting on my shoulders?

ANOTHER VOICE FROM THE CROWD.

Animals! You've pushed so much that Lower Carabanchel has joined with Higher Carabanchel!

*(The trumpet sounds again. The taught rope starts to move. The sacristan comes in doing cartwheels and moistens the rope with saliva. Applause. But silence reigns when the Abbess appears tied up and all the others, Ceferina and the Duchess tied to her. On nearing the well the Abbess tries to shake off the women and the rope stops pulling.)*

THE CHORUS:

*(In a low tone -pianissimo)*

Here they come, tied up and imprisoned, hugging each other. They're going straight to the well. All of them, the poor wretches! Saintly, silly, soppy. Six siren Sarahs!

THE ABBESS:

*(Lance to the ready, in declamatory mood, in a bit of a state.)*

In the throes of your fury, tied round the waist, wrapped in your arms, I go forth into this public place amongst gypsies and Moors. I am yours if you so wish, and I consider it right that you swallow everything up: the law is on my side, the proclamations of Rome, the seat of St. Peter in the resting place of the Apostles. This is a hard bite to swallow and your inner depths will find no resistance against the saintly offensive of the spikes of this fresh laurel leaf which you see pointed at you. Here I am then, an illusion of smoke, an impotent fantasy. I well know you will not triumph against one who resists you with spirit.

THE TAILED SACRISTAN:

That's the way to speak in public! Such a remarkably well-educated woman and such a way with dragons. But it's useless. This fellow won't be impressed by eloquence and appeals to the holy lamb of God. He wouldn't know the difference between the foaming of the Jordan and the waves of the Tiber.

THE CHORUS:

The Sublime one put up a good show. That's the way to fight desire, in the bullring. Long live the world! Long live fear and long live the red mouths of the hispanic mystery.

*(The rope tugs again)*

THE ABBESS: Don't tug, you heartless creature! I dare you to disappear.

CEFERINA.

*(Fighting too)*

Oh Holy Mother fight on. You can't imagine his resistance and his insatiable appetite.

THE DUCHESS.

Escape if you can, with God's help get loose.

THE ABBESS: Heaven help me! Oh senseless gobbler open your mouth to apostolic Jerusalem and devour your redemption.

THE SUBLIMES:

*(striking a pose)*

Burial place of the wind, stew of holes, entrance without an exit, story without a moral....!

*(Emotions are heightened by the beating of a drum. The Duchess and Ceferina are distinguished by their unconfessable desire to be swallowed up)*

CEFERINA:

Let us resist to the end! Let us kick him to death!

THE DUCHESS:

Let him eat us alive and burning, consumed with revulsion!

THE CHORUS:

Long live the snout of Don Juan, long live his tarred breast!

THE BLINDMAN:

*(Taking off his glasses and looking)*

Long live this passing miracle. One, two..., at the count of three he'll gobble them up from head to foot!



*(A great tug on the rope and all three disappear, tossed into the hut. The Sublimes fall on top of each other. The sacristan lifts his skirts and reveals pink stockings and a high-heeled shoe. He has a dagger tucked down the garter. He takes out the dagger and with a dreadful and defiant air goes into the hut, and in a little while this bursts into flame, burning quickly to reveal the well which it covered. The noise of the crowd increases.)*

THE CHORUS:

Mincing machine, vile deceiver, pernicious fiend, relish this tasty feminine morsel with fierce pride and extasy. The game of seduction has been won, now comes the gut-wrenching apotheosis.

*(Now everything comes down to a state of shock. Amidst smoke screens the platform rises from the well with the Duchess and Ceferina clasped to each other in grief, wearing long black veils, one holding the sacristan the remains of the sacristan's tail, the other the broken lance.)*

THE BLINDMAN:

Saint Lucia of all the little blind ones! What's the meaning of this latest episode? Where have my Lady Abbess and the lively Sacristan ended up?

CEFERINA:

There is no Wicked Rodrigo! He's taken off with all his entourage to see what he can get up to elsewhere. He's an itinerant beast. A treacherous and errant lover.

THE DUCHESS:

There's not a trace left of this elusive gypsy. Oh what a shame!

THE LORD MAYOR.

So, there's no Wicked Rodrigo? The evil that seduced us all!

THE DUCHESS.

He has left the country mined with catacombs. He has taken with him the Abbess and that puff. He has left us with nothing.

THE TAILLESS SACRISTAN:

*(Coming out of the convent doors with the Abbess.)*

No, No. We were burrowing out under the theatre floorboards. The old machinery was rusting away down there through lack of use. Nowadays, the stage is contented with garrulous ramblings and mouthings.

THE ABBESS:

My robe got caught in a nail on the stairs. And such dreadful dust! This building is falling down. It's held together by rats.

THE BLINDMAN:

Well end of chapter. Now all the carry on is over it's time to get bored. Poor deceived people, poor dupes.

*(The chorus with a whining sound approaches the well. Ceferina and the Duchess have descended from the platform.)*

THE FATTEST TOWN GUARD:

Out, out! Remove yourselves from here. The pots off the boil. On your way you miserable lot. There are only ashes blowing about here now. Leave before nighttime spits you from this world.

*(The chorus crawls to the well, warming their hands on the dying embers which remain, they listen in total silence. A fading sound of rattles can be heard.)*

THUS ENDS A HINT OF A STORM

**SOURCE TEXT 11 : THE ACADEMIC TEXT.**



## Source Text II

### La Ética y la Económica de Spinoza, un Antecedente de Adam Smith

#### **Introducción**

El presente ensayo forma parte y es uno de los primeros resultados de un proyecto más amplio sobre los antecedentes del Homo Oeconomicus y la ética del capitalismo en el pensamiento de Adam Smith. La hipótesis defendida aquí es que en la obra de Spinoza encontramos el germen de algunas ideas que conducen directamente a la configuración teórica del orden económico y de la ética de Adam Smith. A fin de conseguir mi objetivo, se verá como Spinoza, siguiendo el camino iniciado por Maquiavelo y continuado por Hobbes, va a adoptar un enfoque positivo en su estudio de las características de los sentimientos, pasiones y afecciones de los hombres a fin de descubrir leyes universales capaces de explicar el comportamiento humano. Aquí intentaremos hacer mayor hincapié en aquellas ideas que conducen al orden económico Smithiano.

Aunque Spinoza se preocupó poco de aspectos económicos, sin embargo se descubren en su obra un buen número de conceptos que pueden ayudar a los economistas no sólo a comprender lo que podíamos denominar fundamentos filosóficos de nuestra disciplina sino también el papel del marco institucional. Las características de la naturaleza humana que nos dibuja Spinoza guardan estrechas relaciones con las que un siglo después describiría Adam Smith en su Teoría de los sentimientos morales. Es más, una de las hipótesis que se presentan en este ensayo es que el concepto que tenía Spinoza de la ética prepara una posible concepción del capitalismo que derivaríamos de Adam Smith y que tendría a la ética como uno de sus pilares más importantes. Spinoza adelantándose a los filósofos morales escoceses del XVIII desconfía de las posibilidades de la razón en el diseño de instituciones capaces de encauzar el propio interés de los individuos. La consecución del interés público sólo como consecuencia no querida del interés privado, pues "nadie defiende la causa de otro, a menos que crea asegurar con ello la suya propia" (1), y la importancia de los incentivos son otras de las deudas que tenemos los economistas con Spinoza. Lo mismo que Hobbes, Spinoza resaltaré la necesidad de que las normas contribuyan a la conservación y desarrollo de la riqueza. Ahora bien si es verdad que encontramos cierto paralelismo entre la Ética de Spinoza y el primer libro de Leviatán, dedicado al hombre, sin embargo Spinoza se aparta de Hobbes en sus tratados sobre la república. Su convencimiento de que "la naturaleza humana no se deja sujetar enteramente" (2) le conduce claramente hacia John Locke en las atribuciones concedidas al soberano y, más bien que hacia el contrato social, a la convención de David Hume. Finalmente, hay que resaltar la contribución de Spinoza a la concepción de la armonización de intereses a través de las relaciones económicas y la capacidad de la actividad mercantil para canalizar y transformar las pasiones de los individuos a través de la competencia.

## La Relegación del deber ser

En una época temprana Maquiavelo había insistido claramente en la necesidad de un enfoque positivo, al intentar proveer orientaciones para el mundo real donde el príncipe debe desenvolverse, y en saber cómo funciona el mundo en realidad, dejando de lado el problema del deber ser. De la misma forma Hobbes, convencido de que la filosofía política debe considerar a los hombres como son en la realidad, emprendió el estudio sistemático de la naturaleza humana. Pues bien esta exigencia del enfoque positivo postulada por Maquiavelo y Hobbes es lo que Schumpeter (3), refiriéndose a los filósofos del derecho natural, denomina ética analítica, cuya "tarea primaria" consistía en "explicar el comportamiento real". Este enfoque científico positivo, Etica analítica en este caso, aparece con más fuerza en Spinoza cuando critica a los filósofos. Comienza en el Prefacio de la parte III de la Ética haciendo hincapié en la laguna en el tratamiento de los afectos, pues

"Nadie que yo sepa ha determinado la naturaleza y fuerza de los afectos" (4).

En consecuencia, lo que se propone es un análisis riguroso de la naturaleza de los afectos capaz de demostrar que la pasión debe elevarse a la categoría de virtud, si bien para entenderla es necesario partir del cuerpo y no del alma. El mayor reproche que hace a los filósofos es su falta de realismo. Al no concebir que "la naturaleza no se limita a las leyes de la razón" (5) y pensar que el hombre ante todo es un ser racional, califican de conducta excéntrica o incomprensiva todo lo que no se ajusta a las normas de la razón. Frente a ellos Spinoza contempla

"Los afectos humanos, como son el amor, el odio, la ira, la envidia, la gloria, la misericordia y las demás afecciones del alma no como vicios de la naturaleza humana, sino como propiedades que le pertenecen" (6)

Sin duda alguna la crítica de Spinoza se lanza contra quienes defienden postulados que conducen inevitablemente a la excisión estéril contra la que se enfrenta su proyecto ético. Las propuestas de los filósofos nos conducen por una parte un mundo ilusorio lleno de buenas intenciones donde todo es posible pero nada se realiza y por otra a la realidad de los fenómenos cuya servidumbre no queda más remedio que aceptar (7). Efectivamente

"los filósofos conciben los afectos, cuyos conflictos soportamos, como vicios en los que caen los hombres por su culpa. Por esto suelen reírse o quejarse de ellos, criticarlos o (quienes quieren parecen más santos) detestarlos. Y así, creen hacer una obra divina y alcanzar la cumbre de la sabiduría, cuando han aprendido a alabar, de diversas formas, una naturaleza humana que no existe en parte alguna y a vituperar con sus dichos la que realmente existe. En efecto conciben a los hombre es no como son sino como ellos quisieran que fueran" (8).

Se hace eco de la preocupación de los políticos, - y, sin duda, está pensando en Maquiavelo - cuando se refiere a los esfuerzos por prevenir la maldad humana mediante la astucia y la manipulación, pero su insistencia en señalar que



"el camino que enseña la razón para someter y moderar los afectos es extremadamente arduo" (9)

parece apuntar más bien hacia la línea de pensamiento que conduce a A. Smith, que hacia B. Mandeville.

### Los fundamentos de la Ética.

Vamos a encontrar en Spinoza la fundamentación de la ética en el amor propio, con claras semejanzas con la ética que A. Smith propone en La Teoría de los Sentimientos Morales. Spinoza entiende el amor propio, el interés individual, como autoafirmación del propio ser. *Conatus* o afán de perseverar en el propio ser como llamó nuestro autor al substrato de toda virtud, todo vicio o todo acto neutral de mera supervivencia y es de aquí de donde ha de partir la ética.

En la parte 3a de la Ética, que trata del origen y naturaleza de los afectos, Spinoza comienza en la proposición VI afirmando que

"Cada cosa se esfuerza, cuanto está a su alcance, por perseverar en su ser" (10).

con ello llama la atención del carácter general para toda la naturaleza de la ley del *conatus*, aunque la dimensión psicológica que parece que implica la palabra esfuerzo sólo se alcanza en el hombre.

En la proposición VII insiste en que tal esfuerzo por perseverar en el propio ser pertenece a la misma esencia de la cosa. Y en la VIII proposición resalta el carácter indefinido de aquél esfuerzo. Finalmente en la proposición IX va a precisar más refiriéndose al hombre. Va a ser la conciencia del *conatus* una de las características diferenciales del alma humana frente al resto de las cosas, pues,

"El alma, ya en cuanto tiene ideas claras y distintas, ya en cuanto las tiene confusas, se esfuerza por perseverar en su ser con una duración indefinida, y es consciente de el esfuerzo suyo" ( 11 ) .

Pero Spinoza va a ser todavía más claro y más explícito. Afirma que obrar conforme a virtud es siempre conservar nuestro ser según el principio del propio interés. Es el deseo de ser el único fundamento de la virtud. El *conatus*, ese instinto natural de auto-conservación, el primer y único fundamento de toda la actividad humana, es por lo mismo el único fundamento de la virtud.

"Cuanto más se esfuerza cada cual en buscar su utilidad, esto es, en conservar su ser, y cuanto más lo consigue tanto más dotado de virtud está" (12).

Entiende Spinoza por virtud "la misma esencia o naturaleza del hombre" (13), pero la esencia del hombre o de la naturaleza humana se define por el solo esfuerzo que el hombre realiza por perseverar en el propio ser" (14).

De ahí que no pueda



"Concebirse virtud alguna anterior a ésta (es decir al esfuerzo por conservarse)",

Luego

"El esfuerzo por conservarse es el primero y único fundamento de la virtud. Pues no puede ser concebido ningún otro principio anterior a él y sin él no puede concebirse ninguna virtud" (15)

Por consiguiente obrar conforme a virtud es siempre conservar nuestro ser según el principio del propio interés.

"En nosotros, actuar según la virtud no es otra cosa que obrar, vivir o conservar su ser (estas tres cosas significan lo mismo) bajo la guía de la razón, poniendo como fundamento la búsqueda de la propia utilidad" (16).

No parece que sea necesario forzar la interpretación para descubrir en Spinoza lo que se ha denominado utilitarismo racional (17) que nos conduciría al *homo oeconomicus*, como una especie de modelo ideal de la naturaleza humana, similar al que estudiamos en los manuales de microeconomía. Lo que implicaría una organización de los distintos aspectos de la vida, sobre un cálculo destinado a proporcionar la mejor satisfacción de nuestras necesidades y ello a través de la educación de los niños, la filosofía moral, la medicina y las artes mecánicas (18).

Sin embargo, el posible utilitarismo de Spinoza parece conducirnos más bien al tipo de "egoísta amable" de David Hume y a la apelación del autocontrol de influencia estoica que descubrimos en la última edición de La Teoría de los sentimientos morales de Adam Smith. Efectivamente, Spinoza piensa que

"lo que los hombres consideran como el sumo bien, se reduce a estas tres cosas: las riquezas, el honor y el placer" (19).

Sin embargo el ideal estoico de autocontrol parece aflorar más abajo, al advertir que

"nos vemos obligados, antes que nada, a dar por válidas ciertas normas de vida. Concretamente: Disfrutar de los placeres en la justa medida en que sea suficiente para proteger la salud. Finalmente, buscar el dinero o cualquier otra cosa tan sólo en cuanto es suficiente para conservar la vida y la salud y para imitar las costumbres ciudadanas que no se oponen a nuestro objetivo" (20)

Ahora bien, si la simpatía por el sufrimiento o la alegría ajenos, así como la necesidad de aprobación de los propios actos por los demás van a significar un dato básico para la ética smithiana, también en Spinoza el amor propio se ve reforzado por la aprobación de los demás, especialmente si se trata de espectadores ilustrados e imparciales, ya que

"Nos esforzaremos también por hacer todo aquello que imaginamos que los hombres - entiendo aquí los "hombres" sobre quienes no hemos proyectado afecto alguno - miran con alegría, y, al contrario,

detestaremos hacer aquello que imaginamos que los hombres aborrecen" (21).

Pero el amor propio se verá también reforzado por la *acquiescentia sibi*, por la *autosatisfacción* de nuestros éxitos y por el deseo de emulación; esto es lo que deducimos de la Proposición XXX y del Escolio correspondiente cuando dice

"Si alguien ha hecho algo que imagina afecta a los demás de alegría, será afectado de una alegría, acompañada de la idea de sí mismo como causa, o sea: se considerará a sí mismo con alegría. Si, por el contrario, ha hecho algo que imagina afecta a los demás de tristeza, se considerará así mismo como tristeza" (22).

Ahora bien, si la ética se justifica para la coherencia y la consistencia de la Sociedad, Spinoza, aunque, frente a quienes piensan que la virtud consiste en la autonegación y en la renuncia al instintivo amor propio, no duda en resaltar el amor propio como fundamento de toda moralidad, sin embargo advierte también que entre las características del amor propio se encuentra la disposición a la cooperación social. Si bien, como veremos más abajo, todo proyecto comunitario debe tener como límite imprescindible el propio interés de cada uno de los miembros. Todo ello implica que el amor propio no tiene que ser necesariamente hostil y depredador contra los otros, sino el vínculo que los hace imprescindibles (23).

Aunque la razón nos prescribe nuestra autoconservación, también nos recomienda unírnos a nuestros semejantes, pues el deseo de ser es al mismo tiempo deseo de concordia, ya que

"Cuanto más busca cada hombre su propia utilidad, tanto más útiles son los hombres mutuamente" porque "los hombres se procuran con mucha que necesitan mediante ayuda mutua y sólo uniendo sus fuerzas pueden evitar los peligros que los amenazan por todas partes" (24).

De nuevo, no es difícil intuir aquí el utilitarismo de Hume, ya que es la utilidad lo que impulsa a los hombres a la organización del Estado, pues

"El hombre que se guía por la razón es más libre en el Estado, donde vive según leyes que obligan a todos, que en la soledad, donde solo se obedece a sí mismo. Al hombre que se guía por la razón no es el miedo el que le lleva a obedecer, sino que, en la medida en que se esfuerza por conservar su ser según el dictamen de la razón - esto es, en cuanto se esfuerza por vivir libremente - desea sujetarse a las reglas de la vida y utilidad comunes, y, por consiguiente, desea vivir según la legislación común del Estado" (25).

Pero el utilitarismo en la toma de decisiones coherentes con el propio interés, sopesando costes y beneficios, aparece todavía más patente, cuando reconoce Spinoza que



"Aunque los hombre se rigen en todo, por lo general, según su capricho, de la vida en sociedad con ellos se siguen, sin embargo, muchas más ventajas que inconvenientes. Por ello, vale más sobrellevar sus ofensas con ánimo sereno, y aplicar nuestro celo a aquello que sirva para establecer la concordia y la amistad" (26).

El respeto de las leyes de la justicia y la libertad de los individuos para perseguir su propio interés.

Aunque en la *Ética* de Spinoza encontramos cierto paralelismo con el primer libro de *Leviatán* de Hobbes, dedicado al hombre, sin embargo Spinoza se aparta de *Leviatán* en su tratado de la república. Ya hemos visto como el amor propio de Spinoza se pone a disposición de la cooperación social y ello le llevará en el Tratado Teológico-político y en el Tratado Político a la proclamación de la democracia como mejor forma de gobierno. Frente a los individuos de Hobbes, que, atemorizados por el "bellum omnium contra omnes" son prácticamente arrastrados a ponerse casi de una forma incondicional bajo la protección del Estado, los individuos de Spinoza no están dispuestos a renunciar a su iniciativa. Esta idea, seguramente que por caminos tortuosos, conducirá a través de Locke, Vico, Montesquieu y David Hume a la espontaneidad del sistema de libertad natural de A. Smith, apartándose de la corriente principal de pensamiento de San Agustín, Maquiavelo, Hobbes - el caso de Mandeville es controvertido - y del mismo Bentham.

Spinoza, al negar a la razón las facultades que le atribuye Hobbes, advierte acerca de las dificultades para diseñar deliberadamente instituciones, apuntando, sin duda, a la mayor eficiencia de las normas abstractas, potenciadoras de un orden espontáneo más acorde con su propio razonamiento. Piensa que

"la naturaleza humana está constituida de modo muy diferente. Busca cada uno, sin duda, su propio interés; pero ni es la razón regla y canon de nuestros deseos, en la mayoría de los casos, ni ella decide sobre la utilidad de las cosas, si no que, más a menudo, son la pasión y las afecciones ciegas del alma, sin cuidado de los demás objetos ni del porvenir".

Este estado de cosas le lleva a Spinoza a la conclusión de

"que ninguna sociedad puede subsistir sin poder y sin una fuerza, y por consiguiente, sin leyes que gobiernen y dirijan el desenfreno de las pasiones humanas".

Sin embargo, y esto es muy importante

"la naturaleza humana no se deja sujetar enteramente"

Es aquí donde parece que se produce la ruptura con Hobbes, en el mismo sentido que lo hará J. Locke. Continúa Spinoza deduciendo, en primer lugar,

"que el poder debe estar mientras sea posible en poder de la sociedad entera... En segundo lugar, las leyes en cualquier Estado deben estar



organizadas de modo que los hombres se sujeten menos por el temor del castigo que por la esperanza de los bienes que más desean, porque de este modo cada uno cumplirá su deber con entusiasmo" (27).

Y ello porque

"sabemos que su constitución natural inclina a los hombres a buscar apasionadamente su interés particular y juzgar de la justicia de las leyes con parcialidad según contribuyan o no a la conservación y al desarrollo de sus bienes. No defienden causa ajena más que en la medida en que creen que de este modo defienden sus propios asuntos" (28).

Dos aspectos nos interesa resaltar. En primer lugar que los hombres juzgarán de la justicia de las leyes según que contribuyan o no a la conservación y al desarrollo de sus bienes; encontramos de nuevo la misma preocupación que en Maquiavelo y Hobbes por el marco adecuado en que reine la confianza, pero también la idea de justicia que desde Locke pasará a David Hume y Adam Smith, consistente en garantizar los derechos de propiedad y el cumplimiento de los contratos. El otro se refiere a las causas ajenas y los intereses privados, esto es, el bien público es una consecuencia no querida del interés privado, idea que veremos, es típicamente smithiana.

"Finalmente... en una sociedad en que el poder está en manos de todos y las leyes se hacen con el común consejo, nadie está sujeto a la obediencia, y aumente o disminuya el rigor de las leyes, el pueblo es siempre y por completo libre, puesto que obra por su propio consentimiento" (29).

Spinoza va a demostrar que

"ni es posible ni necesario que nadie ceda todos sus derechos al poder soberano" (30)

De los textos anteriores se deduce claramente que la filosofía de Spinoza conduce hacia el libre cambio y la competencia, aunque la defensa que realiza de la propiedad estatal de los bienes inmuebles se aparte de su razonamiento. Dos motivos impulsaron a Spinoza a afirmar que

"los campos, la totalidad del suelo, y si es posible, las casas deberán ser propiedad del Estado, es decir, de quien ejerza la soberanía" (31)

la necesidad de conseguir recursos financieros para el soberano y "asegurar la paz y la concordia" entre los ciudadanos por ser los bienes inmuebles limitados. Por lo que se refiere a la consecución de recursos financieros,

"los ciudadanos tanto los de la ciudad como los campesinos, los (bienes inmuebles) alquilarán por una retribución anual, una vez pagado este alquiler, la población quedará exceptuada de todo tributo en tiempo de paz. Una parte de la suma así adquirida pasará a las fortificaciones nacionales, otra a los gastos domésticos del rey. Pues durante los periodos de paz la fortificación de las ciudades es necesaria en previsión

de la guerra, lo mismo que preparar los navios y demás material de combate" (32)

En cuanto a lo segundo, al poseer tierras que existen en cantidades limitadas, los miembros de la misma comunidad se encuentran necesariamente en una situación en que la posesión de unos es a costa de la carencia de otros. Pensaba Spinoza que esto ocurría solamente en caso de la posesión de tierras que existen en cantidades limitadas. La diferencia de calidades de la tierra, unida a la escasez de la misma, coloca a sus propietarios en una situación de monopolio que suscita la envidia y el conflicto (33). Así, pues,

"con el fin de asegurar la paz y la concordia, es muy importante que ningún ciudadano posea propiedad inmobiliaria alguna. De este modo se verán amenazados por igual en caso de guerra" (34).

Sin embargo, el comercio y los bienes muebles los contempla de una forma distinta. Si se nacionaliza la tierra, todos los ciudadanos se verán obligados a practicar el comercio o las finanzas y de esta forma sus intereses se armonizarán, pues en sus negocios dependerán estrechamente los unos de los otros y exigirán los mismos medios para su realización, o en palabras del propio Spinoza

"de este modo todos los ciudadanos del Estado verán que sólo pueden tratar asuntos de vinculación recíproca, o cuyo desarrollo requiere los mismos medios" (35).

Así pues, para Spinoza, lo mismo que veremos después en Adam Smith, la riqueza mueble poseída por los individuos estaba limitada sólo por sus esfuerzos que, a su vez, se traducían en una red de obligaciones recíprocas, que reforzarían los lazos unificadores de la sociedad. Todo ello, en última instancia, asegura la unidad entre los hombres, ya sea por la interdependencia de intereses ya sea por su convergencia.

Por consiguiente, abolida la propiedad privada de los bienes inmuebles, en una economía puramente mercantil la envidia solo tendrá ocasión de manifestarse a través de la competencia, que bien canalizada vendrá emulación pacífica (36). Ahora bien, para llevar a cabo una transformación tal en las relaciones económicas es necesario un clima político apropiado, que permita el desarrollo de las correspondientes instituciones, y la mejor forma de conseguir esto sería en la monarquía ideal diseñada en su Tratado Político.

## Conclusión

He intentado en este trabajo resaltar algunas ideas de la obra de Spinoza que tienen semejanzas importantes con aquellas ideas que van a configurar la ética y el orden económico de Smith. Para ello he arrancado de la declaración expresa de Spinoza acerca de la necesidad del enfoque positivo para el estudio del comportamiento humano, esto es, la consideración del hombre como es en la realidad no como le han imaginado filósofos y teólogos. Esta idea le va a permitir a Spinoza establecer el concepto de virtud y la fundamentación de la ética en el amor propio y, tras poner en duda el ideal agustiniano de virtud, que se fundamenta en la autonegación y en la renuncia al instintivo interés individual, no duda en resaltar el amor propio como fundamento de



toda moralidad. De forma similar Adam Smith se referiría en su Teoría de los Sentimientos Morales al ideal ascético, que cínicamente adoptó Mandeville para definir la virtud y el acto virtuoso, como una perversión de la verdadera doctrina, resaltando la no oposición entre las exigencias de la moralidad y el bienestar de este mundo. Hemos visto también ciertas semejanzas con el concepto de simpatía smithiano, cuando el amor propio de Spinoza se ve reforzado por la aprobación de espectadores ilustrados e imparciales, así como por la *acquiescentia sibi* esto es, por la autosatisfacción ante nuestros éxitos y por el deseo de emulación. Nos hemos hecho eco del denominado utilitarismo racional que nos conduciría hacia el "homo oeconomicus" de los economistas, que conduciría hacia una organización social -con las limitaciones pertinentes- destinada a proporcionar la mejor satisfacción de nuestras necesidades. Ahora bien, se trataría de un utilitarismo similar al de David Hume mitigado por la idea de autocontrol de influencia estoica (37).

Finalmente hemos visto como Spinoza rompe con Hobbes al poner en duda la capacidad de la razón en el diseño de instituciones capaces de encauzar el propio interés de los individuos. Ya que "busca cada uno, sin duda, su propio interés, pero ni es la razón regla y canon de nuestros deseos, ni ella decide de la utilidad de las cosas". En la ruptura con Hobbes se anticipa a J. Locke en las atribuciones concedidas al Soberano, y lo que es más importante, advierte que "la naturaleza humana no se deja sujetar enteramente". Hemos visto a los ciudadanos de Spinoza, al practicar el comercio y las finanzas, arrastrados por la armonía de sus intereses, pues en sus negocios dependerán estrechamente los unos de los otros y exigirán los mismos medios para su realización. Igualmente hemos visto los esfuerzos de los hombres por incrementar su riqueza traducidos en una red de obligaciones recíprocas que refuerzan los lazos unificadores de la sociedad.

#### Footnotes:

- (1) B. Spinoza, Tratado Político, VII, 4 y VIII, 24.
- (2) B. Spinoza, Tratado Teológico-político V.
- (3) J.A. Schumpeter, Historia del Análisis Económico 1954 Editorial Ariel, Barcelona, 1971 pág.166.
- (4) B. Spinoza, Ética, III, Prefacio.
- (5) B. Spinoza, Tratado Teológico-político, XVI
- (6) B. Spinoza, Tratado Político, Spinoza.4 (7) M. Allende Salazar Olaso.(7) Spinoza: filosofía pasiones y política. Alianza. Madrid. 1988, pág. 59.
- (8) B. Spinoza, Tratado Político, I. 4.
- (9) Ibidem, 1.5.
- (10) B. Spinoza, Ética, Parte III, Prop. VI.
- (11) Ibidem, Prop. IX.



- (12) B. Spinoza, Ética, IV, Prop. XX
- (13) Ibidem IV, Definición VIII
- (14) Ibidem IV, Prop. XX, demostr.
- (15) Ibidem IV, Prop. XXII y corolario
- (16) Ibidem IV, Prop. XXIV
- (17) Alexandre Matheron, Individu et Communauté chez Spinoza, Les Editions de Minuit, Paris, 1968, págs. 249-250.
- (18) Spinoza, Tratado de la reforma del entendimiento, 15. 44
- (19) Ibidem, 3.
- (20) Ibidem 17
- (21) B. Spinoza, Ética, III, Prop. XXIX
- (22) Ibidem, Prop. XXX
- (23) Fernando Sabater, Ética como amor propio, Mondadori. Madrid. 1988. p á g . 85.
- (24) B. Spinoza, Ética, IV, Prop. XXXV, Corolario II, Escolio.
- (25) Ibidem IV, Prop. LXXIII
- (26) Ibidem IV, XIV
- (27) B. Spinoza, Tratado Teológico-político.
- (28) B. Spinoza, Tratado Político, VII, 4
- (29) B. Spinoza, Tratado Teológico-político, V
- (30) Ibidem.
- (31) B. Spinoza, Tratado Político, VI, 12
- (32) ibidem
- (33) Alexandre Matheron, Individu et Communauté chez Spinoza, Les editions de Minuit, París, 1969, pág. 177.
- (34) Spinoza, Tratado Político, VII, 8. Alexandre Matheron, Individu et Communauté chez Spinoza, Les Editions de Minuit, Paris, 1969. págs. 177-178 y 382.
- (37) No hay ninguna constancia de que A. Smith hubiera leído a Spinoza, sin embargo ambos autores tienen una importante influencia estoica, como se desprende de las citas de sus obras.

## Ethics and Economics in Spinoza, an antecedent of Adam Smith.

### Introduction:

This work forms part of and is one of the first results of a wider project on the antecedents of *Homo Oeconomicus* and the ethics of capitalism in the thought of Adam Smith. The hypothesis put forward here is that the germ of some ideas, leading directly to the theoretical configuration of the economic order of Adam Smith's *Ethics*, can be found in the work of Spinoza. In order to achieve my objective, I shall attempt to show the way in which Spinoza, following the path laid down by Machiavelli and continued by Hobbes, goes on to adopt a positive view in his study of the characteristics of man's sentiments, passions and emotions, with a view to discovering universal laws capable of human behaviour. I attempt here to emphasise those ideas which lead to Smith's economic order.

Although Spinoza was not greatly concerned with economic matters, a number of concepts can be found in his work which enable economists to understand not only what we could call the philosophical foundations of our discipline, but also the role of the institutional framework. The characteristics of human nature which are outlined by Spinoza bear a close relationship to those described by Adam Smith in his *Theory of Moral Sentiments*. Moreover, one of the hypotheses put forward in this paper is that Spinoza's concept of ethics anticipates a possible conception of capitalism which we derive from Adam Smith and which would have ethics as one of its most important pillars. Spinoza, in advance of the Scottish moral philosophers of the eighteenth century, doubts the ability of reason to design institutions capable of channelling the self interest of the individual. Other debts which economists owe to Spinoza are the advancement of public interest solely as an unintended consequence of private interest, as "No man defends another's cause, save in so far as he thereby hopes to establish his own interest" (1), and the importance of incentives. Spinoza, like Hobbes, stressed the way in which rules contribute to the conservation and development of wealth. Although certain parallels may be drawn between Spinoza's *Ethics* and the first book of *Leviathan*, *Of Man*, Spinoza does differ from Hobbes in his treatise on the state. His conviction that "Human nature will not submit to absolute repression" (2) leads him clearly towards John Locke in the attributes conceded to the sovereign, and inclining rather towards the convention of David Hume than towards the Social Contract. Finally, it is necessary to underline Spinoza's contribution to the concept of the harmonization of interests through economic relationships and the ability of trade to channel and transform the passions of the individual through competition.



## The Relegation of the "Ought To Be".

Machiavelli had, much earlier, insisted upon a positive view, in an attempt to provide guidelines for the real world in which the prince must play a role, and to show how the world really works, leaving aside the problem of how it ought to be. Similarly, Hobbes, convinced that political philosophy should consider men as they are in reality, undertook a systematic study of human nature. This insistence upon a positive view by Machiavelli and Hobbes is what Schumpeter (3), referring to the Natural Law Philosophers, calls "Analytical Ethics" whose "primary task" consists of "explaining real behaviour". This positive scientific view, in this case Analytical Ethics, appears more strongly in Spinoza when he criticises the philosophers. He begins, in the preface to part III of the *Ethics*, by stressing the inadequacy of the treatment of the emotions:

"No-one, so far as I know, has defined the nature and strength of the emotions". (4)

Consequently, what is proposed is a rigorous analysis of the nature of emotions, capable of showing that passion should be elevated to the category of a virtue, even if, in order to understand it, one must take as a starting point the body rather than the soul. The main criticism he makes of the philosophers is of their lack of realism. In failing to understand that "Nature is not bounded by the laws of human reason" (5) and in thinking that man is above all a rational being, they deem to be eccentric or incomprehensible all that does not correspond to the norms of reason. Spinoza considers that, "Passions such as love, hatred, anger, ambition, envy, pity and other perturbations of the mind, not in the light of vices of human nature, but as properties just as pertinent to it." (6)

Spinoza's critique undoubtedly attacks those who adopt propositions leading inevitably to the sterile excision which his ethical project opposes. The philosophers' propositions lead us, on the one hand, to an illusory world full of good intentions where all is possible but nothing is ever brought about, whilst ignoring, on the other, the reality of phenomena to which we are enslaved. (7)

Philosophers conceive of the passions which harass us as vices into which men fall by their own fault, and, therefore, generally deride, bewail or blame them, or execrate them, if they wish to seem unusually pious. And so they think they are doing something wonderful, and reaching the pinnacle of learning, when they are clever enough to bestow manifold praise on such human nature, as is nowhere to be found, and to make verbal attacks on that which in fact exists. For they conceive of men, not as they are, but as they themselves would like them to be (8).

He echoes the concern of the politicians - and is, without doubt, thinking of Machiavelli - when he refers to the efforts to prevent human wickedness by means of cunning and manipulation, but his insistence on pointing out that: "... the road that reason



points out is very steep" (9) seems to point to the line of thought which leads rather to Adam Smith than to Bernard Mandeville.

### The Foundation of Ethics.

We shall find in Spinoza the foundation of ethics in self love, with clear similarities to the ethics which Adam Smith proposes in his *Theory of Moral Sentiments*. Spinoza understands self-love, the self-interest of the individual, as an affirmation of one's own being. The Conatus, or desire to persevere in the self, which our author called the substratum of all virtue, all vice, or all merely neutral acts of survival and considered this as the starting point of ethics.

In part 3a of the *Ethics*, which deals with the origin and nature of the emotions, Spinoza in Proposition VI affirms that:

Everything in so far as it is in itself, endeavours to persist in its own being  
(10)

thus drawing attention to the general applicability of the law of Conatus throughout all nature, although the psychological dimension which the word 'endeavour' implies may only be found in man.

In proposition VII it is emphasised that such an endeavour to persist in one's own being belongs to the very essence of the thing. And, in the following proposition, the indefinite nature of this endeavour is made clear. finally, in proposition IX, he goes on to be more precise about the nature of man:

The mind, both in so far as it has clear and distinct ideas, and also in so far as it has confused ideas, endeavours to persist in its being for an indefinite period, and of this endeavour it is conscious. (11)

But Spinoza goes on to be even clearer and more explicit. He affirms that to act rightly is always to conserve our own being according to the principle of self-interest. The desire to be is the only foundation of virtue. The conatus, this natural instinct of self preservation the foremost and unique basis for all human activity, is, for the same reason, the only foundation of virtue.

The more every man endeavours, and is able to seek what is useful to him - in other words to preserve his own being - the more he is endowed with virtue; on the contrary, in proportion as a man neglects to seek what is useful to him, that is, to preserve his own being, he is wanting in power.  
(12)

Spinoza understands by virtue "man's nature or essence", (13) consequently, to act rightly is to preserve our being according to the principle of self-interest, but man's nature

or essence is defined "solely by the endeavour made by man to persist in his own being."  
(14)

Therefore

No virtue can be conceived as prior to this endeavour to preserve one's own being. (10)

Thus

The effort for self-preservation is the first and only foundation of virtue. For prior to this principle nothing can be conceived, and without it no virtue can be conceived. (15)

Consequently, to act rightly is always to preserve our own being according to the principle of self-interest.

To act absolutely in obedience to virtue is in us the same thing as to act, to live, or to preserve one's own being (these three terms are identical in meaning) in accordance with the dictates of reason on the basis of seeking what is useful to one's self. (16)

It does not seem necessary to labour the interpretation in order to find in Spinoza what has been called "rational utilitarianism" (17) which leads us to *Homo Oeconomicus*, as a sort of ideal model for human nature, similar to that which can be seen in the manuals of Microeconomics. This would imply an organisation of different aspects of life based on a calculus aimed at satisfying our needs by means of education, moral philosophy, medicines and mechanical arts. (18)

Spinoza's possible utilitarianism, however, leads us to the "considerate egoist" of David Hume and the appeal to self-control derived from stoicism which we find in the last edition of Adam Smith's Theory of the Moral Sentiments. In fact, Spinoza thinks that:

For the ordinary surroundings of life which are esteemed by men (as their actions testify) to be the highest good may be classed under the three heads - Riches, Fame and the Pleasures of Sense. (19)

However, the stoic ideal of self-control seems to be evident in the following:

.... We are compelled first of all to lay down certain rules of life as provisionally good, to wit the following:-

- I. To speak in a manner intelligible to the multitude and to comply with every custom which does not hinder our purpose ...



- II. To indulge ourselves with pleasures only in so far as they are necessary for preserving health.
- III. Lastly, to endeavour to obtain only sufficient money or other commodities to enable us to preserve life and health, and to follow such general customs as are consistent with our purpose". (20)

If sympathy for the suffering and joy of others and the need for the approval of our own acts constitutes a basic principle of Adam Smith's *Ethics*, in Spinoza, self-love is also reinforced by the approval of others, especially the enlightened or impartial observer, thus,

We shall also endeavour to do whatsoever we conceive men to regard with pleasure and contrariwise we shall shrink from doing that which we conceive men to shrink from. (21)

Self-love is, however, also reinforced by *acquiescentia sibi*, by self-satisfaction in our successes and by our desire for "emulation"; this is what we deduce from proposition XXX and corresponding scholium when he says:

If anyone has done something which he conceives as affecting other men pleasurable, he will be affected by pleasure, accompanied by the idea of himself as cause; in other words he will regard himself with pleasure. On the other hand, if he has done something which he conceives as affecting others painfully, he will regard himself with pain. (22)

While *Ethics* is justified by its attempt to give coherence and consistency to society, Spinoza, in the face of those who think that virtue consists of self-denial and the renouncing of the instinct of self-interest, does not hesitate to stress the importance of self-interest as a foundation of all morality. He does, however, also point out that amongst the characteristics of self-love can also be found the disposition towards social cooperation. However, all community projects must essentially be limited by the self-interest of its individual members. All of which implies that self-interest is not necessarily inimical or damaging to others, but rather the link which makes each indispensable to the other. (23)

Although reason dictates our self-preservation, it also prompts us to unite with those similar to ourselves, as the desire to be is the same as the desire for harmony, thus

As every man seeks most that which is useful to him, so are men most useful one to another.

because

Men can provide for their wants much more easily by mutual help and that only by uniting their forces can they escape from the dangers that on every side beset them. (24)



Again, it is not difficult to infer from this evidence of Hume's utilitarianism, as it is 'utility' which prompts men to bring about the organisation of the state, as

The man who is guided by reason is more free in a State, where he lives under a general system of law, than in solitude, where he is independent. The man who is guided by reason, does not obey through fear (IV.lxiii): in so far as he endeavours to preserve his being according to the dictates of reason, in so far as he endeavours to live in freedom, he desires to order his life according to the general good (IV.xxxvii), and, consequently (as we showed in IV.xxvii, note ii), to live according to the laws of his country. Therefore, the freeman, in order to enjoy greater freedom, desires to possess the general rights of citizenship. (25)

Utilitarianism in the making of decisions in accordance with self-interest, weighing up the costs and benefits, appears even more obvious when Spinoza points out that:

Therefore, although men are generally governed in everything by their own lusts, yet their association in common bring many more advantages than drawbacks. Therefore it is better to bear patiently the wrongs they may do to us, and to strive to promote whatsoever serves to bring about harmony and friendship. (26)

Respect for the legal system, and the freedom of the individual to pursue his own self-interest.

Although, in Spinoza's *Ethics* we find certain parallels with the first book of Hobbes' *Leviathan, Of Man*, Spinoza does, however, differ from *Leviathan* in his treatises on the State. We have already seen how Spinoza's self-interest lends itself to social cooperation and this led him, in his *Theology-Political Treatise*, to proclaim democracy as the best form of government. Unlike Hobbes' individuals who, in fear of the "Bellum omnium contra omnes", are virtually forced to place themselves unconditionally under the protection of the state, Spinoza's individuals are unwilling to renounce their own political initiative.

This idea, albeit by a less than straightforward route, will lead, via Locke, Vico, Montesquieu and David Hume, to the spontaneity of the system of natural liberty of Adam Smith, moving away from the principal current of thought of San Augustine, Machiavelli, Hobbes - the case of Mandeville is debatable - and Bentham.

Spinoza, on denying to reason the faculties attributed to it by Hobbes, warns of the difficulties of deliberately designing institutions, pointing to the greater efficiency of abstract rules in allowing the emergence of a spontaneous order in closer agreement with his own thinking. He thinks that:

human nature is framed in a different fashion: everyone, indeed, seeks his own interest, but does not do so in accordance with the dictates of sound reason, for most men's ideas of desirability and usefulness are guided by

their fleshly instincts and emotions, which take no thought beyond the present and immediate object.

This state of things leads Spinoza to conclude that:

No society can subsist without government and without force and laws to restrain and repress men's desires and immoderate impulses.

However, and this is very important, "Still human nature will not submit to absolute repression"

It is here that Spinoza, like J. Locke, made a break with Hobbes. Spinoza continues by deducing:

Firstly, that authority should either be vested in the hands of the whole state in common . . . . . Secondly, laws should in every government be so arranged that people should be kept in bounds by the hope of some greatly desired good rather than by fear, for then everyone will do his duty willingly.(27)

This would be so because:

Human nature is so constituted that everyone seeks with the utmost passion his own advantage, and judges those laws to be most equitable which he thinks necessary to preserve and increase his own substance, and defends another's cause so far only as he thinks he is thereby establishing his own.(28)

I wish to emphasise two aspects of this. Firstly, that men judge the justice of laws according to whether or not they contribute to the development and conservation of their goods; we find again the same concern as in Machiavelli and Hobbes for the right framework in which people can place their trust, but also the idea of justice which passes from Locke to David Hume and Adam Smith, which consists in guaranteeing property rights and the fulfilment of contractual obligations. The other refers to the causes of others and self-interest, which is to say public good as an unintended consequence of private interest, an idea which we will see is typically Smithian.

Lastly, as obedience consists in acting at the bidding of external authority, it would have no place in a state where the government is vested in the whole people and laws are made by common consent. In such a society the people would remain free, whether the laws were added to or diminished, in as much as it would not be done on external authority, but their own free consent.(29)



Spinoza goes on to show that "no-one can, or need, transfer all his rights to the sovereign power." (30)

It can be clearly deduced from the preceding texts that Spinoza's philosophy leads towards free exchange and competition, although the defense he makes for the state ownership of property goes against his own reasoning.

Two reasons prompt Spinoza to affirm that:

The fields and the whole soil and, if it can be managed, the houses, should be public property, that is, the property of him, who holds the right of the commonwealth . . . (31)

These concern the need to find financial resources for the sovereign and the need to "ensure peace and harmony" amongst citizens, given that immovable property is limited. As regards the need to obtain financial resources:

They shall be let at a yearly rent to the citizens, whether townsmen or countrymen, and with this exception, let them all be free or exempt from all taxation in times of peace. And of this rent a part is to be applied to the defences of the state, a part to the king's private use. For it is necessary in time of peace to fortify cities against war, and also to have ready ships and other munitions of war. (32)

With regard to the second reason, members of the same community who possess lands which exist in limited quantities, necessarily find themselves in a situation in which those who possess lands do so at the expense of those who do not. Spinoza thought that this would happen only in the case of possession of lands which existed in a limited amount where the difficulty of obtaining land, together with the lack of the same, places the owners in a situation of monopoly which gives rise to envy and conflict (33).

Therefore

There is another accession to the cause of peace and concord, which is also of great weight: I mean that no citizen can have immovable property. Hence all will have an equal risk in war. (34)

However, commerce and moveable property are viewed differently. If land is nationalised, all citizens will be obliged to take part in commerce and financial transactions and in this way their interests will harmonise as in their businesses they will depend closely upon each other and they will therefore demand the means with which to further these interests. In the words of Spinoza:



And thus they will be engaged in business, which either is mutually involved, one man's with another, or needs the same means for its furtherance.(35)

Thus, for Spinoza, as is later seen in Adam Smith, the moveable wealth possessed by individuals was limited only by their efforts, which, in turn, were translated into a network of reciprocal obligation which bound society together. All this, in the final analysis, assures unity amongst men, whether from interdependence of interests or from a convergence of interests.

Consequently, once private ownership of immovable goods has been abolished, envy would only have occasion to manifest itself through competition, in an economy based on trade, which properly channelled, will result in peaceful rivalry(36). However, in order to bring about such a transformation of these economic relationships, the right political climate is necessary, which allows for the development of the corresponding institutions, and the best way of achieving this would be through the ideal monarchy outlined in his *Political Treatise*.

## CONCLUSION:

I have attempted in this paper emphasise certain ideas in Spinoza's work which show a marked degree of similarity to those which were to influence the economic order and ethics of Adam Smith. In order to do so I have drawn upon the express statements made by Spinoza regarding the need for a positive view in the study of human behaviour, this is to say, the study of man as he is in reality, rather than as theologians and philosophers imagine him to be. This idea will allow Spinoza to establish the concept of virtue and the foundation of ethics in self-love, and, after casting doubt on the Augustinian ideal of virtue based on self-denial and the denial of the instinct of self-interest, he does not hesitate to emphasise self-love as the foundation of all morality.

In a similar way Adam Smith would refer, in his *Theory of the Moral Sentiments*, to the ascetic ideal, which Mandeville cynically adopted to define virtue and the virtuous act as a perversion of the true doctrine, emphasising the lack of opposition between the demands of morality and worldly well-being.

We have also seen certain similarities between Smith's concept of sympathy, where Spinoza's self-love is reinforced by the approval of enlightened and impartial observers, as well as by the *acquiescentia sibi*, that is to say, by self-satisfaction with our successes and by the desire for "emulation". We have shown traces of the 'so-called 'rational utilitarianism' which leads us to the "*homo oeconomicus* of the economists, which leads us in turn to a social organisation, with relevant limitations, affording the greatest satisfaction

of our needs. We refer to a utilitarianism similar to that of David Hume, mitigated by the idea of self-control influenced by the stoics.

Finally, we have witnessed how Spinoza breaks with Hobbes in doubting the ability of reason to design institutions capable of channelling the self-interest of the individual. As "... everyone, indeed, seeks his won interest, but does not do so in the dictates of sound reason ..."

In the break with Hobbes, Spinoza anticipates J. Locke in the attributes he concedes to the sovereign, and, more importantly, he warns that "human nature will not suffer absolute repression." We have seen that Spinoza's citizens, in transacting commerce and financial dealings, are drawn by the harmony of their interests, as in their businesses they depend on each other and will demand the means by which to fulfil their needs. We have similarly seen man's endeavour to increase his wealth translated into a network of reciprocal obligations which strengthen the ties binding society together.

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